



# Client Registration

**TRADING-DEMAT-COMMODITY ACCOUNT**

**NON-INDIVIDUAL**

Client Name:

Client Code:

BO. ID:

Application Sr. No.:



# INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
<b>BOOKLET 1</b>			
<b>A MANDATORY DOCUMENTS AS PRESCRIBED BY THE SEBI AND CDSL</b>			
1.	Account Opening Form	A. KYC Form - Document captures basic information about the constituents and an instruction /checklist (to be filled by client) B. Draft UBO Declaration C. Document captures the additional information for Trading & Demat Account	11 15 17
2.	Tariff Sheet	Document detailing the demat fee schedule & rate/amount of brokerage and other charges levied on the client for trading on the stock/commodity exchange(s)	22
3.	Demat Debit & Pledge Instruction ('DDPI') (Voluntary)	To enable broker to pull stock from Client's Demat Account for meeting delivery obligations and pledging/re-pledging.	23
4.	Most Important Terms & Conditions	Terms and conditions for non-custodian settled trading account	25
5.	SMS Alerts from CDSL	Terms & Conditions for receiving SMS alerts from CDSL in case demat account is being opened with this form	26
<b>B VOLUNTARY FORM AS PROVIDED BY THE STOCK BROKER</b>			
6.	Voluntary Terms & Conditions	Document captures voluntary Terms & Conditions	28
7.	Securities Trading using Wireless Technology	Document relating to Securities Trading using Wireless Technology	31
8.	Authorisation for Running Account	Authorisation letter to Prabhudas Lilladher Private Limited, facilitates maintaining of fund with the member for every pay-in of funds / margin obligation	32
9.	Mutual Fund Service Request	Mutual Fund Service System (MFSS) facility of NSE/BSE STAR	33
10.	Open Position Undertaking	Undertaking to keep Open positions of commodity forward contracts / commodity derivatives at MCX within prescribed limits	34
11.	Auto Square-off Letter	Authorisation to square-off Open positions	35
12.	Confirmation for SB/AP	Confirmation of the arrangement with Sub-broker/Authorised Person	36
13.	FATCA/CRS Declaration	Confirmation Under The Foreign Account Tax Compliance Act (FATCA) & Common Reporting Standards (CRS)	37
14.	Acknowledgement	Acknowledgement and office use copy	39

## Prabhudas Lilladher Private Limited

Sr. No.	Particular	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) 66322222 (DP);  
 Website: [www.plindia.com](http://www.plindia.com)  
 CIN: U67190MH1983PTC029670

### Compliance Officer Name:

Ms. Jaishri Rohra Phone No. (91) (22) 66322357 E-mail ID: [co@plindia.com](mailto:co@plindia.com)

### CEO Name:

Mr. Sandip Raichura E-mail ID: [Sandipraichura@plindia.com](mailto:Sandipraichura@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) 66322450/51 (DP related)

In the event of an unsatisfactory response to your grievance, please refer to Grievance Redressal Mechanism:

## Stock Broking - Grievance Redressal Mechanism

(SEBI/HO/MRD/MRD-PoD-2/P/CIR/2024/63 dated May 29, 2024)

1. Mode of filing the complaints – Complaints can be lodged on the Exchange in the following ways:
  - i. Through SCORES 2.0 (a web-based centralised grievance redressal system of the SEBI) [<https://scores.sebi.gov.in>] Two Level Review: (a) First review done by Exchange (b) Second review done by SEBI.
  - ii. Respective Exchange's web portal dedicated for the filing of complaint  
**[NSE]:** <https://www.nseindia.com/contact/investor-services-centre>;  
**BSE:** <https://bsecrs.bseindia.com/ecomplaint/frmlInvestorHome.aspx>;  
**MCX:** <https://www.mcxindia.com/Investor-Services/grievances/address-of-the-igrc-centres>
  - iii. Emails to designated email IDs of the Exchange **[NSE]:** ignse@nse.co.in; **BSE:** is@bseindia.com; **MCX:** grievance@mcxindia.com ]
  - iv. Through SMARTODR (<https://smartodr.in/login>) dedicated for the filing of complaint.
2. Regarding documents required for complaint resolution, please refer to the link;  
**[NSE]:** <https://nsearchives.nseindia.com/web/sites/default/files/inline-files/Documents%20to%20be%20submitted%20by%20Parties.pdf>;  
**BSE & MCX:** Documents required for complaint resolution: Complete Account Opening Kit, Contract Notes, Ledger statement, Bank statement, Demat transaction statement, any other document in support of claim.]
3. Process flow for Complaint Resolution Process through Scores 2.0 [Refer Schedule III of SEBI Circular **SEBI/HO/OIAE/IGRD/CIR/P/2023/156** dated September 20, 2023].

Online Dispute Resolution		
1	Online Dispute Resolution (ODR) platform for online Conciliation and Arbitration	If the investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration. [ <a href="https://smartodr.in/login">https://smartodr.in/login</a> ]
2	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ul style="list-style-type: none"> <li>• Investor to approach Market Participant for redressal of complaint</li> <li>• If investor is not satisfied with response of Market Participant, he/she has either of the following 2 options:                     <ul style="list-style-type: none"> <li>- May escalate the complaint on the SEBI SCORES portal. (In this scenario the above steps shall prevail),</li> <li>- May also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> </ul> </li> <li>• Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days.</li> <li>• If the matter could not be amicably resolved, then to the matter shall be referred for conciliation.</li> <li>• During the conciliation process, the conciliator will endeavour for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.</li> <li>• If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>• The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days with consent of the parties to dispute.</li> <li>• If the parties are not satisfied with the arbitration award, option to file u/s 34 of Arbitration and Conciliation Act, 1996.</li> </ul>

\* For detailed investor charter, please visit: [www.plindia.com](http://www.plindia.com)

## Depository Participant - Grievance Redressal Mechanism

(SEBI/HO/MRD/MRD-PoD-1/P/CIR/2024/66 dated May 29, 2024)

1	Investor Complaints / Grievances	<p>Investor can lodge complaint / grievance against the Depository / DP in the following ways:</p> <p>a. Electronic Mode:</p> <ul style="list-style-type: none"> <li>i. SCORES 2.0 (a web-based centralised grievance redressal system of SEBI) [<a href="https://scores.sebi.gov.in">https://scores.sebi.gov.in</a>] Two Level Review: (a) First review done by Exchange (b) Second review done by SEBI.</li> <li>ii. Respective Depository's web portal dedicated for the filing of compliant - <a href="https://www.cdslindia.com/Footer/grievances.aspx">https://www.cdslindia.com/Footer/grievances.aspx</a></li> <li>iii. Emails to designated email IDs of Depository - <a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a></li> </ul> <p>b. Offline mode</p>
2	Online Dispute Resolution (ODR)	<p>If the investor is not satisfied with the resolution provided by DP or other Market Participants, then the investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through by online conciliation or arbitration.</p> <p>[<a href="https://smartodr.in/login">https://smartodr.in/login</a>]</p>
3	Steps to be followed in ODR for Review, Conciliation and Arbitration	<ul style="list-style-type: none"> <li>• Investor to approach Market Participant for redressal of complaint</li> <li>• If investor is not satisfied with response of Market Participant, he/she can escalate the complaint on SEBI SCORES portal. (In this scenario the above steps shall prevail),</li> <li>• Alternatively, the investor may also file a complaint on SMARTODR portal for its resolution through online conciliation and arbitration.</li> <li>• Upon receipt of complaint on SMARTODR portal, the relevant MII will review the matter and endeavour to resolve the matter between the Market Participant and investor within 21 days.</li> <li>• If the matter could not be amicably resolved, then to the matter shall be referred for conciliation.</li> <li>• During the conciliation process, the conciliator will endeavour for amicable settlement of the dispute within 21 days, which may be extended with 10 days by the conciliator with consent of the parties to dispute.</li> <li>• If the conciliation is unsuccessful, then the investor may request to refer the matter for arbitration.</li> <li>• The arbitration process to be concluded by arbitrator(s) within 30 days, which is extendable by 30 days.</li> </ul>

\* For detailed investor charter, please visit: [www.plindia.com](http://www.plindia.com)

## 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

### 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 & 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

<input type="checkbox"/>	Bank Statement/Passbook + Original cancelled cheque in the name of Corporate Investor
<input type="checkbox"/>	Proof of Demat Account (If not opened with PL-DP)
<input type="checkbox"/>	Undertaking to submit copy of Balance Sheet of immediate previous financial year in case it is not finalised as on date of account opening
<input type="checkbox"/>	All Signatures on AOF & documents under Company's rubber stamp

\*- UIBO can be identified in the shareholding pattern of the company or its holding company. For more details on UIBO please refer our guidelines on Corporate account kept in clients → Utility → Download Forms

#### **HUF Account**

<input type="checkbox"/>	Non Individual KRA-KYC Form in the name of HUF entity
<input type="checkbox"/>	Karta's details & photos on Annexure of KRA- KYC Form
<input type="checkbox"/>	PAN Card of HUF Entity and Karta
<input type="checkbox"/>	Bank Statement/Passbook in the name of HUF
<input type="checkbox"/>	Address Proof in the name of HUF and Karta
<input type="checkbox"/>	Declaration by Karta giving details of Co-parceners
<input type="checkbox"/>	Signature by Karta under HUF stamp at all places
<input type="checkbox"/>	Signature of Co-parceners with their names at the bottom of DDPI/POA
<input type="checkbox"/>	Proof of Demat Account (If not opened with PL-DP)

#### **Partnership Account**

<input type="checkbox"/>	Non-Individual KRA-KYC Form & Trading AOF in name of Firm
<input type="checkbox"/>	Partner's details & photos on Annexure of Non-Individual KRA- KYC Form
<input type="checkbox"/>	PAN Card & Address proof of Partnership Firm and all partners
<input type="checkbox"/>	Bank Statement/Passbook + Original cancelled cheque in the name of Firm
<input type="checkbox"/>	Copy of Partnership Deed
<input type="checkbox"/>	Registration Certificate for registered Firm
<input type="checkbox"/>	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)
<input type="checkbox"/>	Copy of Balance Sheet for last 2 years
<input type="checkbox"/>	Proof of Demat Account (If not opened with PL-DP)
<input type="checkbox"/>	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

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 authorised for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign / vernacular language, then translation into English is required.
4. Name and address of the applicant mentioned on the KYC form should match with the documentary proof submitted.
5. If correspondence and permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name and capacity.
7. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
8. 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)

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)

1. PoA is 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 tele- phone, 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)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central / State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral 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 authorised to attest the documents**

1. Authorised officials of Asset Management Companies (AMCs).
2. Authorised officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation and Seal should be affixed on the copy).
5. In case of NRIs, authorised 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**

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

THIS PAGE HAS BEEN  
INTENTIONALLY LEFT BLANK



**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	<input type="checkbox"/> Please Specify
<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)		<input type="checkbox"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y
<input type="checkbox"/> Any other proof of address documents (As listed in guidelines)			

**4. Contact Details\***

Email-ID 1	<input type="text"/>		
Mobile No.	<input type="checkbox"/> STD / ISD	<input type="text"/>	
Email-ID 2	<input type="text"/>		
Mobile No.	<input type="checkbox"/> STD / ISD	<input type="text"/>	
Tel. (Office)	<input type="checkbox"/> STD / ISD	<input type="text"/> Fax <input type="text"/>	

**5. Annexure Submitted**

Number of Related Persons

**6. Remarks / Additional Information****7. Application Declaration**

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

Date  D  D  M  M  Y  Y  Y  Y

Place

F2

Applicant Digital Signature (DSC)

Applicant Wet Signature

**8. For Office Use Only**
**KYC Carried Out by\***

KYC Date  D  D  M  M  Y  Y  Y  Y

Employee Name

Employee Code

Designation

Employee Signature & Stamp

**Intermediary details\***

Self-certified documents received (Originals verified)

True Copies of documents received (Attested)

Intermediary Name: **Prabhudas Lilladher Private Limited**

Intermediary Signature & Stamp

## KYC Annexure For Related Persons

Please fill the form in English and in BLOCK LETTERS.  
 (Please tick ✓ on the box next to the option you wish to choose and provide corresponding details)  
 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 guidelines overleaf)

<b>PAN*</b>	<input type="text"/>				Please enclose a duly attested copy of your PAN card		
<b>Name (Same as ID Proof)</b>	<input type="text"/>						
<b>Maiden Name*(if any)</b>	<input type="text"/>						
<b>Father's/Spouse Name*</b>	<input type="text"/>						
<b>Date of Birth*</b>	<input type="text"/> D <input type="text"/> D	<input type="text"/> M <input type="text"/> M	<input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y				
<b>Gender*</b>	<input type="checkbox"/> Male	<input type="checkbox"/> Female	<input type="checkbox"/> Transgender				
<b>Nationality*</b>	<input type="checkbox"/> Indian	<input type="checkbox"/> Others	<input type="text"/> Please Specify				
<b>Related Person Type*</b>					<b>PHOTOGRAPH</b> (Affix latest colour & across signature on photograph)		
<input type="checkbox"/> Director	<input type="checkbox"/> Promoter	<input type="checkbox"/> Karta	<input type="checkbox"/> Trustee	<input type="checkbox"/> Partner			
<input type="checkbox"/> Beneficiary	<input type="checkbox"/> Authorised Signatory	<input type="checkbox"/> Beneficial Owner	<input type="checkbox"/> Power of Attorney Holder	<input type="checkbox"/> Court Appointed Official Proprietor			
<input type="checkbox"/> Others	<input type="text"/> Please Specify						
<b>DIN</b>	<input type="text"/>				(Mandatory if related person is a Director)		

### Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

<input type="checkbox"/> A-Aadhar No.	<input type="text"/> XXXX-XXXX-	Please enter last 4 digit of Aadhar		
<input type="checkbox"/> B-Passport No.	<input type="text"/>	<b>Expiry Date</b>	<input type="text"/> D <input type="text"/> D	<input type="text"/> M <input type="text"/> M
<input type="checkbox"/> C-Voter-ID Card	<input type="text"/>	<b>Expiry Date</b>	<input type="text"/> D <input type="text"/> D	<input type="text"/> M <input type="text"/> M
<input type="checkbox"/> D-Driving Licence	<input type="text"/>	<input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y		
<input type="checkbox"/> E-NREGA Job Card	<input type="text"/>			
<input type="checkbox"/> F-NPR	<input type="text"/>			
<input type="checkbox"/> Z-Others	<input type="text"/>	<b>Identification No.</b> <input type="text"/>		

### 2. Address Details\* (Please refer guidelines overleaf)

#### A. Correspondence / Local Address

<b>Line 1*</b>	<input type="text"/>				
<b>Line 2</b>	<input type="text"/>				
<b>City/Town/Village*</b>	<input type="text"/>	<b>District*</b>	<input type="text"/>		
<b>State*</b>	<input type="text"/>	<b>Country*</b>	<input type="text"/>		
<b>Pin Code*</b>	<input type="text"/>				
<b>Address Type*</b>	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Residence/Business	<input type="checkbox"/> Regd. Office	<input type="checkbox"/> Unspecified

F3

Applicant Signature

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

Line 1*	<input type="text"/>				
Line 2	<input type="text"/>				
City/Town/Village*	<input type="text"/>	District*	<input type="text"/>		
State*	<input type="text"/>	Country*	<input type="text"/>		
Pin Code*	<input type="text"/>				
Address Type*	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Residence/Business	<input type="checkbox"/> Regd. Office	<input type="checkbox"/> Unspecified

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

<input type="checkbox"/> A-Aadhar No.	<input type="text" value="XXXX-XXXX-"/>	Please enter last 4 digit of Aadhar		
<input type="checkbox"/> B-Passport No.	<input type="text"/>	<input type="checkbox"/> Expiry Date	<input type="text" value="D D"/>	<input type="text" value="M M"/>
<input type="checkbox"/> C-Voter-ID Card	<input type="text"/>	<input type="checkbox"/> Expiry Date	<input type="text" value="D D"/>	<input type="text" value="M M"/>
<input type="checkbox"/> D-Driving Licence	<input type="text"/>		<input type="text" value="Y Y Y Y"/>	<input type="text" value="Y Y Y Y"/>
<input type="checkbox"/> E-NREGA Job Card	<input type="text"/>			
<input type="checkbox"/> F-NPR	<input type="text"/>			
<input type="checkbox"/> Z-Others	<input type="text"/>	Identification No.	<input type="text"/>	

**3. Contact Details\* (In Capital)**

Email*	<input type="text"/>	Tel. Res.	<input type="text" value="STD / ISD"/>	<input type="text"/>
Mobile No.	<input type="text" value="STD / ISD"/>	Tel. Off.	<input type="text" value="STD / ISD"/>	<input type="text"/>

**4. Applicant Declaration**

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

Date	<input type="text" value="D D"/>	<input type="text" value="M M"/>	<input type="text" value="Y Y Y Y"/>	<input type="text"/>	<input type="text" value="F4"/>
Place	<input type="text"/>			Applicant E-Sign	Applicant Wet Signature

**5. For Office Use Only**
**In-Person Verification (IPV) carried out by\***

IPV Date	<input type="text" value="D D"/>	<input type="text" value="M M"/>	<input type="text" value="Y Y Y Y"/>
Emp. Name	<input type="text"/>		
Emp. Code	<input type="text"/>		
Emp. Designation	<input type="text"/>		

Employee Signature &amp; Stamp

**Intermediary details\***

- Self-certified documents received (Originals verified)
- True Copies of documents received (Attested)

 Intermediary Name: **Prabhudas Lilladher Private Limited**


Intermediary Signature &amp; Stamp

## Ultimate Beneficial Ownership Declaration ('UBO') / Controlling Persons

### 1. Investor's Details

Name	<input type="text"/>			
PAN	<input type="text"/>			
Constitution	<input type="checkbox"/> Company	<input type="checkbox"/> Limited Liability Partnership	<input type="checkbox"/> Partnership	<input type="checkbox"/> Trust
<input type="checkbox"/> Unincorporated Association / Body of Individuals	<input type="checkbox"/> Others	<input type="text"/> Please Specify		

### 2. Company Type (If 'Company' is Selected Under Constitution)

<input type="checkbox"/> a) Company listed on recognized Stock Exchange	<input type="checkbox"/> b) Subsidiary of Listed Stock Exchange
<input type="checkbox"/> c) Company controlled by Listed Company	<input type="checkbox"/> d) Unlisted Company

In case 'Company Type' selected is any one of a, b or c then please provide details of Listed Company.

Name	<input type="text"/>			
ISIN No.	<input type="text"/>			
Stock Exchange(s) where listed:	<input type="checkbox"/> NSE	<input type="checkbox"/> BSE	<input type="checkbox"/> Other	<input type="text"/> Please Specify

### 3. UBO / Controlling Person(s) Details

This section is to be filled in if, Constitution is other than 'Company' and if option 'd' selected under Company type.

<input type="checkbox"/> a) Company has individual(s) holding or entitled to more than 10% of share capital or profit
<input type="checkbox"/> b) Entity (not being a Company) has individual(s) holding or entitled to more than 15% of share capital or profit
<input type="checkbox"/> c) If no individual under 'a' and 'b' above then individual(s) holding Senior Managing Official ('SMO')

Particulars	UBO-1 / SMO	UBO-2	UBO-3	
First Name				
Middle Name				
Surname				
Father's First Name				
Father's Surname				
UBO/SMO'S PAN				
Place & Country of Birth				
Nationality				
Date of Birth	(DD/MM/YYYY)	(DD/MM/YYYY)	(DD/MM/YYYY)	
Permanent Address: Line 1				
Permanent Address: Line 2				
City & State				
Pin-code				
Correspondence Address	<input type="checkbox"/> Same as Permanent	<input type="checkbox"/> Same as Permanent	<input type="checkbox"/> Same as Permanent	
If not same:	Line 1			
	Line 2			
City & State				
Pin-code				
E-mail ID				
Mobile No.				
KYC Complied	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

## Declaration

I/We acknowledge and confirm that the information provided above is true and not misleading to our knowledge and belief. In case any of the above specified information is found to be false, untrue, misleading or misrepresenting, I/we am/are aware that I/we may be liable for it including any penalty levied by the statutory/legal/ regulatory authority. I/We hereby confirm the above beneficial interest after perusing all applicable shareholding pattern and MF/ RTA/other registered intermediaries can make reliance on the same. I/ We hereby authorise you to disclose, share, rely remit in any form, mode or manner, all/ any of the information provided by me, including all changes, updates to such information as and when provided by me to any Indian or foreign governmental or statutory or judicial authorities/ agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/ us of the same. Further, I/ We authorise to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I/ We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days of such changes and undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/tax authorities.

<b>Name</b>			
<b>Designation</b>			
<b>Signatures</b>	F5	S1	T1

## INSTRUCTIONS ON ULTIMATE BENEFICIAL OWNER/CONTROLLING PERSONS

As per PMLA guidelines and relevant SEBI circulars issued from time to time, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs / UBOS. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement.

### A. For Investors other than individuals or trusts:

- i. (i) The identity of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest. Controlling ownership interest means ownership of/entitlement to:
  - more than 10% of shares or capital or profits of the juridical person, where the juridical person is a company.
  - more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership.
  - more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.
- ii. In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.
- iii. Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

### B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 10% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

### C. Exemption in case of listed companies/foreign investors:

The client or the owner of the controlling interest is a company listed on a stock exchange or is a majority-owned subsidiary of such a company, there is no need for identification and verification of the identity of any shareholder or beneficial owner of such companies and hence exempted from UBO declaration provided other requisite information is provided. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012 and other circulars issued from time to time, for the purpose of identification of beneficial ownership of the client.

### D. KYC requirements:

Beneficial Owner(s) / Senior Managing Official (SMO) is / are required to comply with the prescribed KYC process as stipulated by the SEBI from time to time with any one of the KRA & submit the same to AMC. KYC acknowledgement proof is to be submitted for all the UBO(s)/SMO(s).

Please fill the form in English and in BLOCK LETTERS.  
 Fields marked \* are mandatory

### 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

Both Trading and Demat Account  Only Trading Account  Only Demat Account

First Holder Name

PAN

Second Holder Name

PAN

Third Holder Name

PAN

### Additional KYC Details - First Holder

Registered with KYC Registration Agency (KRA)  Yes  No

If yes, please tick appropriate KRA  CVL  NDML  Dotex  CAMS  Karvy

KYC Details same as per that registered with KRA  Yes  No

Gross Annual Income  Upto ₹1 Lakh  ₹1-5 Lakh  ₹5-10 Lakh  ₹10-25 Lakh  ₹25 Lakh - 1 Cr  >₹1 Cr

Net-worth (₹)  as on 

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

 (Not older than 1 year)

Nature of Business

Registered in\* Indian  Others

### Additional KYC Details - Second Holder

Registered with KYC Registration Agency (KRA)  Yes  No

If yes, please tick appropriate KRA  CVL  NDML  Dotex  CAMS  Karvy

KYC Details same as per that registered with KRA  Yes  No

Gross Annual Income  Upto ₹1 Lakh  ₹1-5 Lakh  ₹5-10 Lakh  ₹10-25 Lakh  ₹25 Lakh - 1 Cr  >₹1 Cr

Net-worth (₹)  as on 

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

 (Not older than 1 year)

Nature of Business

Registered in\* Indian  Others

### Additional KYC Details - Third Holder

<b>Registered with KYC Registration Agency (KRA)</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No										
If yes, please tick appropriate KRA	<input type="checkbox"/> CVL	<input type="checkbox"/> NDML	<input type="checkbox"/> Dotex	<input type="checkbox"/> CAMS	<input type="checkbox"/> Karvy							
Details same as Registered KRA	<input type="checkbox"/> Yes	<input type="checkbox"/> No										
<b>Gross Annual Income</b>	<input type="checkbox"/> Upto ₹1 Lakh	<input type="checkbox"/> ₹1-5 Lakh	<input type="checkbox"/> ₹5-10 Lakh	<input type="checkbox"/> ₹10-25 Lakh	<input type="checkbox"/> ₹25 Lakh - 1 Cr	<input type="checkbox"/> >₹1 Cr						
<b>Net-worth (₹)</b>	<input type="text"/>		as on	<input type="checkbox"/> D	<input type="checkbox"/> D	<input type="checkbox"/> M	<input type="checkbox"/> M	<input type="checkbox"/> Y	<input type="checkbox"/> Y	<input type="checkbox"/> Y	<input type="checkbox"/> Y	(Not older than 1 year)

**Nature of Business**

**Registered in\*** Indian  Others

#KRA-KYC Registering Agency. Please submit duly filled KRA-KYC application form if applicant has 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

### Registration Details (CM/FIs/FIs/Banks/OCBs to fill whichever is applicable)

<b>SEBI Registration Number</b>	<input type="text"/>	<b>Date</b>	<input type="checkbox"/> D	<input type="checkbox"/> D	<input type="checkbox"/> M	<input type="checkbox"/> M	<input type="checkbox"/> Y	<input type="checkbox"/> Y	<input type="checkbox"/> Y	<input type="checkbox"/> Y
<b>RBI Registration Number</b>	<input type="text"/>	<b>Date</b>	<input type="checkbox"/> D	<input type="checkbox"/> D	<input type="checkbox"/> M	<input type="checkbox"/> M	<input type="checkbox"/> Y	<input type="checkbox"/> Y	<input type="checkbox"/> Y	<input type="checkbox"/> Y

### Clearing Member Details (To be filled by CMs only)

<b>Name of Stock Exchange</b>	<input type="text"/>		
<b>Name of CC/CH</b>	<input type="text"/>		
<b>Clearing Member ID</b>	<input type="text"/>	<b>Trading Member ID</b>	<input type="text"/>

### GST Registration Details

**GST Registration**

### Bank Details\*

I/we wish to receive Dividend / Interest directly in to my/our Bank Account mentioned below through ECS (If not marked, default option would be 'Yes')

Yes

No

<b>Bank Name</b>	<input type="text"/>			
<b>Branch Name</b>	<input type="text"/>			
<b>Bank Branch Address</b>	<input type="text"/>			
<b>MICR Code (9 Digit)†</b>	<input type="text"/>			
<b>IFSC Code (11 Characters)†</b>	<input type="text"/>			
<b>Account Type</b>	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Other	<input type="text"/> Please Specify
<b>Account Number</b>	<input type="text"/>			

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

## 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 SLB Derivatives
F6	F7	F8	F9	F10	F11	F12

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.

CATEGORIZATION OF PARTICIPANTS IN COMMODITIES DERIVATIVE MARKET										
CLIENT PROFILE	<input type="checkbox"/> COMMERCIAL PARTICIPANT		<input type="checkbox"/> NON COMMERCIAL PARTICIPANT							
Pursuant to SEBI circular no. SEBI/HO/CDMRD/DNPMP/CIR/P/2019/08 dated January 04, 2019 on Disclosures by the Stock Exchange(s) for commodity derivatives on their website, I/we declare the following category for my/our trading in Commodities Derivatives Market.										
<b>Field Name Description :</b> Please tick relevant boxes for your categorization against commodities in which you wish to trade.										
Field Name	FARMER PRODUCER ORGANIZATION/ FARMER	VALUE CHAIN PARTICIPANT (VCPs) / HEDGER	DOMESTIC FINANCIAL INSTITUTIONAL INVESTOR	FOREIGN PARTICIPANT	OTHERS*					
ALUMINIUM	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
BRASS	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
CARDAMOM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
CASTORSEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
COPPER	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
COTTON	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
CPO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
CRUDEOIL	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
GOLD	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
LEAD	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
MENTHAOIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					

NATURALGAS	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NICKEL	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PEPPER	<input type="checkbox"/>				
RBDPMOLEIN	<input type="checkbox"/>				
SILVER	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ZINC	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BARLEYJPR	<input type="checkbox"/>				
CHANA	<input type="checkbox"/>				
COCUDAKL	<input type="checkbox"/>				
DHANIYA	<input type="checkbox"/>				
GUARGUM5	<input type="checkbox"/>				
GUARGSEED10	<input type="checkbox"/>				
JEERAUNJHA	<input type="checkbox"/>				
KAPAS	<input type="checkbox"/>				
MAIZE	<input type="checkbox"/>				
MOONG	<input type="checkbox"/>				
PADYPB1121	N.A.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RMSEED	<input type="checkbox"/>				
SYBEANIDR	<input type="checkbox"/>				
SYOREF	<input type="checkbox"/>				
TMCFGRNZM	<input type="checkbox"/>				
WHEATFAQ	<input type="checkbox"/>				
ALL COMMODITIES	<input type="checkbox"/>				
ANY OTHER COMMODITY PLEASE SPECIFY					

\* Others: If cannot be classified in any of the above categories.

I/We undertake to inform you immediately in writing of any change in the particulars furnished above in the declaration. In case of trade in any commodity which is newly listed on the exchange and not forming part of the above declaration, I/we shall inform you immediately in writing the category for my/our trading in such commodity.

#### B. Additional Details

	Mobile belongs to*	E-mail ID belongs to*
<b>First Holder</b>	Name of Person	Name of Person
	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director / Promoter	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director / Promoter
	<input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner	<input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner
	<input type="checkbox"/> Trustee <input type="checkbox"/> Others	<input type="checkbox"/> Trustee <input type="checkbox"/> Others
Please Specify		
<b>Second Holder</b>	Name of Person	Name of Person
	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director / Promoter	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director / Promoter
	<input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner	<input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner
	<input type="checkbox"/> Trustee <input type="checkbox"/> Others	<input type="checkbox"/> Trustee <input type="checkbox"/> Others
Please Specify		
<b>Third Holder</b>	Name of Person	Name of Person
	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director / Promoter	<input type="checkbox"/> Authorised Signatory <input type="checkbox"/> Director / Promoter
	<input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner	<input type="checkbox"/> Karta of HUF <input type="checkbox"/> Partner
	<input type="checkbox"/> Trustee <input type="checkbox"/> Others	<input type="checkbox"/> Trustee <input type="checkbox"/> Others
Please Specify		

We wish to receive trade confirmation SMS/E-mail directly from Exchanges

SMS  E-Mail  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")**

 Yes       No

**Do you wish to avail the facility of Internet Trading / Wireless technology? (For Mobile Trading please submit consent letter)**

 Yes       No

**Number of years of Investment / Trading Experience**

 years

**We authorise and agree to receive call or SMS from Prabhudas Lilladher Pvt. Ltd. & its associates with reference to products and offerings. This authorisation shall override my/our registration for DND / DNC/NDNC, if any**

 Yes       No

### C. Dealings Through Sub-Brokers & Other Stock-Brokers

If applicant is dealing through PL sub-broker, please provide

**Sub-Broker Name**

**SEBI Registration No. 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 Sub-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**

Sub-Broker

Authorised person

Remiser

Existing Client

Employee

Others

Please Specify

**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 Option

#### Statement Requirement

Daily  Weekly  Fortnightly  Monthly  As per the SEBI Regulation

**Receipt of Annual Reports from RTA/Company**  Physical  Electronic  Both Physical & Electronic  
(Default option would be "Physical")

**We wish to share the E-mail ID with RTA/Company** (Default value would be "Yes" if opted for Electronic Annual Reports above)  Yes  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")  Yes  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")  Yes  No

**We wish to receive Dividend/Interest directly into our bank account mentioned above through ECS** (Default option would be "Yes")  Yes  No

**We instruct the DP to receive each and every credit in our account** (Default option would be "Yes")  Yes  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")  Yes  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 information, please refer to Booklet 2)  
(EASI allows a BO to view his ISIN balances, transactions & value of portfolio online at CDSL's website [www.cDSLindia.com](http://www.cDSLindia.com))  Yes  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 26)  Yes  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.)  Yes  No

**PEP Status\***  Politically Exposed Person (PEP)  Politically Exposed Person (PEP)  Politically Exposed Person (PEP)  
 Relative of PEP  Relative of PEP  Relative of PEP  
 Not Applicable  Not Applicable  Not Applicable

### B. Option For Issuance of DIS (Tick any one of the option)

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.

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 documents 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**




**Signatures\***

F13

S2

T2

## Tariff Sheet - Related To Trading and Demat Account

**BROKERAGE**
**Mandatory**

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

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

	Opening (₹)	Same Day (₹)	Open Position (₹)	Next Day square-up (₹)
<b>Nifty</b>				
<b>Bank Nifty</b>				
<b>Currency Option</b>				
<b>Commodity Option</b>				
<b>Others</b>				

**OTHER CHARGES:**

- i. Account Opening Charges plus applicable tax if any
- ii. 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.
- iii. Processing charges shall be debited to client on Futures expiry close-out, exercise/assignment of options by way of journal entries at rates equal to futures brokerage as above.
- iv. Delayed payment charges @1.5% per month or such other rate applicable and intimated to the client, shall be borne by client.
- v. If brokerage per Contract Note at any segment-book type comes to less than ₹25/-, brokerage of ₹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 > ₹10 and ₹0.25 per share for stock priced < = ₹10. For Options, maximum brokerage permitted by rules: 2.5% of premium or ₹100 per lot whichever is higher)
- vi. A charge of ₹25/- for issuing physical contract note, provided the client had opted to receive electronic contract note
- vii. Any other charges levied with due intimation to the client, shall be borne by client.
- viii. Clearing charges in F&O segment and handling charges for issue of account statement, contract notes, etc., will be charged as applicable.

**SCHEME PLAN OPTED FOR DEMAT ACCOUNT** (Please tick on relevant scheme)

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

13% p.a. interest will be levied for delay in making payment of DP charges

 Supersaver     BSDA\*     Lifetime No AMC     Economy     Gold

\*The default scheme selected for your Demat account will be BSDA, subject to the eligibility criteria as determined by the Depository. If you do not meet the eligibility requirements for BSDA, the scheme you have chosen will be applied instead.

(Change of scheme at a later date shall have to be intimated to DP in writing or from your registered e-mail id at [dpschchn@plindia.com](mailto:dpschchn@plindia.com))

**First/Sole Holder**
**Second Holder**
**Third Holder**
**Name**



**Signatures\***



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

**Date**






Name &amp; Signature of Sub-broker / Authorised Person (Alongwith rubber-stamp)

Entered in the system by: (Name &amp; Signature)

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

	Name	Signature	Date
Verified by			

## Demat Debit And Pledge Instruction

**Voluntary**
**UCC/Trading Account code** 
**Demat Account ID** 
**First Holder Name** 
**Second Holder Name** 
**Third Holder 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. No.	Purpose	Signature of 1st holder	Signature of 2nd holder	Signature of 3rd holder
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 favour for the purpose of meeting my margin requirements in connection with the trades executed by me on the			
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 authorised 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 authorisation shall be valid until I/we revoke the same by a written communication to your DP & Securities Division at Mumbai.

**Execution Date:**

THIS PAGE HAS BEEN  
INTENTIONALLY LEFT BLANK

## Most Important Terms and Conditions (MITC)

### (For Non-Custodial Settled Trading Accounts)

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

	<b>First/Sole Holder or Guardian (In case of Minor)</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Name</b>			
<b>Signatures*</b>	F19	S7	T7

## Minimum mandatory terms and conditions to clients (Research Service)

Prabhudas Lilladher Private Limited shall disclose to the clients the terms and conditions of the research services offered including rights and obligations. Prabhudas Lilladher Private Limited shall ensure that neither any research service is rendered nor any fees is charged until consent is received from client on the terms and conditions.

**1. Availing the research services:** By accepting delivery of the research service, the client confirms that he/she has elected to subscribe the research service of the Prabhudas Lilladher Private Limited at his/her sole discretion. Prabhudas Lilladher Private Limited confirms that research services shall be rendered in accordance with the applicable provisions of the Research Analyst (RA) Regulations.

**2. Obligations on RA:** Prabhudas Lilladher Private Limited and client shall be bound by SEBI Act and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.

**3. Client Information and KYC:** The client shall furnish all such details in full as may be required by the Prabhudas Lilladher Private Limited in its standard form with supporting details, if required, as may be made mandatory by RAASB/SEBI from time to time. Prabhudas Lilladher Private Limited shall collect, store, upload and check KYC records of the clients with KYC Registration Agency (KRA) as specified by SEBI from time to time.

**4. Standard Terms of Service:** "I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the SEBI (Research Analyst) Regulations, 2014, including the fee structure.

I/We are subscribing to the research services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.

**I/We understand that –**

- i. Any investment made based on the recommendations in the research report are subject to market risk.
- ii. Recommendations in the research report do not provide any assurance of returns.
- iii. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report."

**Declaration of the Prabhudas Lilladher Private Limited (RA) that:**

- i. It is duly registered with SEBI as an RA pursuant to the SEBI (Research Analysts) Regulations, 2014 and its registration details are: (registration number: INH00000271, registration date: January 17, 2023);
- ii. It has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;
- iii. Research analyst services provided by it do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;
- iv. The maximum fee that may be charged by Prabhudas Lilladher Private Limited as RA is ₹1.51 lakhs per annum per family of client.
- v. The recommendations provided by Prabhudas Lilladher Private Limited do not provide any assurance of returns.

**5. Consideration and mode of payment:** The client shall duly pay to Prabhudas Lilladher Private Limited, the agreed fees for the services that Prabhudas Lilladher Private Limited renders to the client and statutory charges, as applicable. Such fees and statutory charges shall be payable through the specified manner and mode(s)/ mechanism(s). Agreed fees: NIL

Prabhudas Lilladher Private Limited shall disclose to the clients the terms and conditions of the research services offered including rights and obligations. Prabhudas Lilladher Private Limited shall ensure that neither any research service is rendered nor any fees is charged until consent is received from client on the terms and conditions.

**6. Risk factors:** Risk of loss in trading/investment can be substantial and even more than the amount / margin given by you. Investment in securities market are subject to market risks, you are requested to read all the related documents carefully before investing. You should carefully consider whether trading/investment is appropriate for you in light of your experience, objectives,

financial resources and other relevant circumstances. Prabhudas Lilladher Private Limited and any of its employees, directors, associates, group entities, or affiliates shall not be liable for losses, if any, incurred by you. You are further cautioned that trading/investments in financial markets are subject to market risks and are advised to seek independent third party trading/investment advice outside \_ Prabhudas Lilladher Private Limited /group/associates/affiliates/director's/ employees before and during your trading/investment. There is no guarantee/assurance as to returns or profits or capital protection or appreciation. Prabhudas Lilladher Private Limited and any of its employees, directors, associates, and/or employees, directors, associates of Prabhudas Lilladher Private Limited 's group entities or affiliates is not inducing you for trading/investing in the financial market(s). Trading/Investment decision is your sole responsibility. You must also read the Risk Disclosure Document and Do's and Don'ts before investing. Investments in securities market are subject to market risks, read all the related documents carefully before investing. SEBI has also informed the Risk Disclosure here and here Derivatives are a sophisticated investment device. The investor is requested to take into consideration all the risk factors before actually trading in derivative contracts. Certain transactions -including those involving futures, options and other derivatives involve substantial risk and are not suitable for all investors. The investor is requested to take into consideration all the risk factors including their financial condition, suitability to risk return profile and the like and take professional advice before investing

**7. Conflict of interest:** The Prabhudas Lilladher Private Limited shall adhere to the applicable regulations/ circulars/ directions specified by SEBI from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest.

**8. Termination of service and refund of fees:** Prabhudas Lilladher Private Limited may suspend or terminate rendering of research services to client on account of suspension/ cancellation of registration of Prabhudas Lilladher Private Limited by SEBI and shall refund the residual amount to the client. In case of suspension of certificate of registration of the Prabhudas Lilladher Private Limited for more than 60 (sixty) days or cancellation of the Prabhudas Lilladher Private Limited registration, Prabhudas Lilladher Private Limited shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.

**9. Grievance redressal and dispute resolution:** Any grievance related to:

- i. nonreceipt of research report or
- ii. missing pages or inability to download the entire report, or
- iii. any other deficiency in the research services provided by Prabhudas Lilladher Private Limited, shall be escalated promptly by the client to the person/employee designated by Prabhudas Lilladher Private Limited, in this behalf (grievance-br@plindia.com)

The Prabhudas Lilladher Private Limited shall be responsible to resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations.

Prabhudas Lilladher Private Limited shall redress grievances of the client in a timely and transparent manner.

Any dispute between the Prabhudas Lilladher Private Limited and his client may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.

**10. Additional clauses:** All additional voluntary clauses added by the Prabhudas Lilladher Private Limited should not be in contravention with rules/ regulations/ circulars of SEBI. Any changes in such voluntary clauses/document(s) shall be preceded by a notice of 15 days.

**11. Mandatory notice:** Clients shall be requested to go through Do's and Don'ts while dealing with Prabhudas Lilladher Private Limited as specified in SEBI master circular no. SEBI/HO/MIRSD-POD1/P/CIR/2024/49 dated May 21, 2024 or as may be specified by SEBI from time to time.

"The terms and conditions and the consent thereon are for the research services provided by the Prabhudas Lilladher Private Limited and Prabhudas Lilladher Private Limited cannot execute/ carry out any trade (purchase/sell transaction) on behalf of the client. Thus, you are advised not to permit Prabhudas Lilladher Private Limited to execute any trade on your behalf."

## Most Important Terms and Conditions (MITC)

1. These terms and conditions, and consent thereon are for the research services provided by the Prabhudas Lilladher Private Limited and Prabhudas Lilladher Private Limited cannot execute/carry out any trade (purchase/sell transaction) on behalf of, the client. Thus, the clients are advised not to permit RA to execute any trade on their behalf.

2. The fee charged by Prabhudas Lilladher Private Limited to the client will be subject to the maximum of amount prescribed by SEBI/ Research Analyst Administration and Supervisory Body (RAASB) from time to time (applicable only for Individual and HUF Clients).

Note:

2.1. The current fee limit is Rs 1,51,000/- per annum per family of client for all research services of the RA.

2.2. The fee limit does not include statutory charges.

2.3. The fee limits do not apply to a non-individual client / accredited investor.

3. Prabhudas Lilladher Private Limited may charge fees in advance if agreed by the client. Such advance shall not exceed the period stipulated by SEBI; presently it is one year. In case of pre-mature termination of the RA services by either the client or the RA, the client shall be entitled to seek refund of proportionate fees only for unexpired period.

4. Fees to Prabhudas Lilladher Private Limited may be paid by the client through any of the specified modes like cheque, online bank transfer, UPI, etc. Cash payment is not allowed. Optionally the client can make payments through Centralized Fee Collection Mechanism (CeFCoM) managed by BSE Limited (i.e. currently recognized RAASB).

5. The Prabhudas Lilladher Private Limited is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The Prabhudas Lilladher Private Limited will endeavor to promptly inform the client of any conflict of interest that may affect the services being rendered to the client.

6. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to the client by the Prabhudas Lilladher Private Limited.

7. The Prabhudas Lilladher Private Limited cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the RA's research services. All opinions, projections, estimates of the Prabhudas Lilladher Private Limited are based on the analysis of available data under certain assumptions as of the date of preparation/publication of research report.

8. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the Prabhudas Lilladher Private Limited shall be as per the client's own judgement and assessment of the conclusions contained in the research report.

9. The SEBI registration, Enlistment with RAASB, and NISM certification do not guarantee the performance of the Prabhudas Lilladher Private Limited or assure any returns to the client.

10. For any grievances,

Step 1: The client should first contact the Prabhudas Lilladher Private Limited using the details on its website or following contact details:

- Client account queries & information: [customerconnect@plindia.com](mailto:customerconnect@plindia.com)
- Compliance Officer/Client Grievances: [grievance-br@plindia.com](mailto:grievance-br@plindia.com)

Step 2: If the resolution is unsatisfactory, the client can also lodge grievances through SEBI's SCORES platform at [www.scores.sebi.gov.in](http://www.scores.sebi.gov.in)

Step 3: The client may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in/>

11. Clients are required to keep contact details, including email id and mobile number/s updated with the RA at all times.

12. The RA shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including Prabhudas Lilladher Private Limited.

## Policy for Handling Good Till Date Orders

### Background:

Exchanges vide it's circular NSE/INSP/62528 dated June 21, 2024 and 20240622-2 dated June 22, 2024 pertaining to 'Policy on Handling of Good Till Cancelled Orders offered by Members to Clients' mandated trading members to formulate a policy in case they offer "Good Till Cancelled" / "Good Till Triggered" orders or orders of similar type.

### Scope:

The Exchanges have stated that the policy shall include –

- Details of Good Till Cancelled/Good Till Triggered/orders of similar type provided by member including its validity.
- Manner of handling of such orders in case of corporate actions (e.g. cancellation, price reseat, retaining, etc. for the unexecuted orders).
- Provide timeline within which the member shall intimate their clients about details of upcoming corporate actions applicable for such unexecuted orders of clients, which shall not be later than one day prior to the ex-date of the corporate action.

### Details of Good Till Cancelled/Good Till Triggered/orders –

- a. Prabhudas Liladhar Pvt. Ltd. (PL) enables it's clients to place "Good Till Date" (GTD) orders.
- b. The facility for placing a GTD order is available in Equity Cash segment and delivery product.
- c. All existing and new clients of PL who are eligible to trade in Equity Cash product can use GTD facility for order placement.
- d. Client can specify disclosed quantity while placing cash orders with GTD order validity.
- e. GTD orders can only be placed by specifying a limit price. GTD orders cannot be placed at market price.
- f. GTD orders can be placed during the pre-open session for all scrips, however only orders in scrips that are pre-open enabled would be sent to exchange during the pre-open session.
- g. Orders in all other scrips not enabled for pre-open session would be treated as overnight orders and sent to exchange during normal trading session.
- h. Client shall ensure that necessary funds/margins are available to place GTD orders in their account for the unexecuted quantity of the order. RMS will validate the limits available then the order is pushed to exchange. If the order is rejected due to no availability of limit then order gets rejected with reason. Same order is repushed to exchange on next trading day till the order validity date.
- i. "Order Validity Date" means the date entered by the client while placing GTD orders. This date shall be equal to or less than the maximum validity date defined by PL which would appear as the default "Order Validity Date". Client can choose the GTD order validity date as less than or equal to the maximum validity date defined by PL. Client shall not be allowed to place orders with GTD validity beyond maximum defined validity date.
- j. In case the GTD order validity date falls on a non trading day, the order is expired by PL on the last trading day which falls prior to such order valid date which is a non trading day.
- k. Once a client has placed a GTD order, PL will place orders for the unexecuted quantity of the GTD order for all the days during the validity period or till the quantity is fully executed or cancelled or rejected due to any reason. Client may login only to check the status of such orders.
- l. For the unexecuted quantity orders shall be placed daily as overnight orders during the validity period, i.e. until the order validity date is less than or equal to the next trade date provided such GTD order remains unexecuted and is not cancelled, nor rejected due to any reason. The orders would be placed on these dates provided they are trading days.
- m. Orders with GTD validity can be placed both during the market hours as well as post market hours.
- n. GTD orders can be placed over Call N Trade.
- o. Clients can modify the quantity or limit price of a GTD order clients can modify the order only when the order is in 'Ordered status' (during market hours) or 'Requested status' (after market hours).
- p. All GTD orders can be cancelled.
- q. Stoploss orders can also be placed with GTD validity.

**Handling of GTD orders in case of corporate actions:**

Post Corporate Action, GTD orders will be validated against DPR (Daily Price Range) sent by the exchange. Before revalidating the order for next trading day (post corporate action), system will check for circuit limits and daily price range and would validate orders only within the circuit limit and daily price ranges.

The orders which would fail in circuit check and daily price range for next day pumping would be kept in system in "GTD Blocked" status for retry on subsequent trading day.

**Updating Clients of upcoming Corporate Actions:**

Clients shall review their GTD orders proactively whenever there may be an impact of corporate action on their order/s. It would be the onus of the client to take appropriate action to modify / cancel orders accordingly.

**Policy Communication:**

The said policy shall be made part of the Account Opening Form/Kit under heading "Policy on Handling of Good till Cancelled Orders of Client" of Policy and Procedures document and shall also be displayed on the PL website.

**Policy Review:**

The said policy shall be reviewed on an annual basis.

## 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:

- "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.
- DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
- '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.
- SMS means "Short Messaging Service"
- "Alerts" means a customised SMS sent to the BO over the said mobile phone number.
- "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.
- "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

### Availability

- 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.
- The service is currently available to the BOs who are residing in India.
- 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.
- In the 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.
- 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

- 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.
- 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.
- 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.
- 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.
- The BO authorises 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.
- **The BO agrees to inform the depository and DP in writing of any unauthorised debit to his BO account/ unauthorised 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.co](mailto:complaints@cdslindia.co) The BO is advised not to inform the service provider about any such unauthorised 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.**
- 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.
- 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.

- If the BO finds that the information such as mobile number etc., has been changed without proper authorisation, 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 unauthorised 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 unauthorised 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 users 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 of 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**




**Signatures\***

F20

S8

T8

**Date**

D D

M M

Y Y Y Y

**Place**

## 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.

- **Authorisation 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
- **Payment by cheque:** Where payment by the client towards margin money is made through cheque / pay order / demand draft issued in favour of PL, trades may be executed at the discretion of PL only upon realisation of the funds of the said cheque/pay order/demand draft.
- **Margins:** Client agrees to deposit margins as per the 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 and Sundays for withdrawal of client securities not under Lien to PL.
- **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 un-discharged 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.
- **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 recognised stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of PL to enforce, at its option, the collateral security in the securities to recover the debit balance at any time. The
- client hereby authorises PL to do all acts, deeds, undertakings and other formalities necessary to carry out the above delivery/pledge.
- **Authorisation for Inter segment fund balance transfer and stock transfers:** The client hereby authorises 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.
- **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:
  - Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or
  - 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.
- **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. The 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.
- **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 networks, 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.
- **Client not to act on representations of agents, employees:** Client is aware that PL has not authorised 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.

- **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.
- **Confidentiality of Client Details:** PL may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and gives its consent 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.
- **Disclosure as to Proprietary Trades by PL:** Prabhudas Liladhar Private Limited may undertake proprietary trading (i.e., trading on its own account) in the securities and commodities market. All proprietary trading is carried out in compliance with applicable SEBI and Stock Exchange regulations, including norms for segregation of client and proprietary funds and securities.
- **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.
- **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.
- **Notices:** All notices or communications issued by PL shall be served to 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:
  - (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 on 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.
- 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.
- **Electronic Contract Note (ECN) and SMART facility:**
  - 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 authorising 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.
  - Client agrees to enroll for the Strategic Monitoring and Review Tool (SMART) Account to view Back Office details, Research Reports, etc., through PL website [www.plclients.com](http://www.plclients.com). Client authorises PL to allot User ID & Password and communicate the Password to client's registered e-mail ID.
  - Client undertakes to inform any change in 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.
  - Client acknowledges that the Client registration documents will be available on PL website [plclients.com](http://plclients.com) and ECN will be available on the said site for a period of at least 120 calendar days from the date of trade. The Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, PL may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back-office web site or by delivery of a hard copy). Client's failure to advise PL of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
  - Client agrees and understands 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 authorises PL to reverse the excess credit of shares in client's BO Account with PL and / or excess credit from ledger account with PL. Client agrees and undertakes to immediately return excess funds / Securities received from PL. Client undertakes to keep login ID/password confidential and be solely responsible for unauthorised use thereof.
- **Electronic Transmission of other Documents:** The Client who has 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 and 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 its 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 and shall be binding on the client.
- **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 times be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.
- **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 favour 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.
- **Internet / Wireless Technology based Trading facility:**
  - 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.
  - **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 times by placing orders off-line with the concerned branch of PL.
  - The client understands and agrees that PL has different products of the Internet Trading/Wireless Trading software which have been approved by the Exchanges and the client shall be allotted such products 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.
  - **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.
  - Clients shall familiarise themselves with the Company's policy for 'Voluntary Blocking of Trading Account by Clients' which has been implemented in pursuance of SEBI circular **SEBI/HO/MIRSD/POD-1/P/CIR/2024/4** dated January 12, 2024 to grant authority to the clients to instruct the Trading Member to temporarily blockage their respective trading accounts on suspicion of unauthorised trading activity within the same.
- **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.
- **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,



Client Code



## Securities Trading Using Wireless Technology

Date 

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

Client Code

Client Name

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

### **Sub: Securities trading using wireless technology**

Dear Sir(s),

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

I/We 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.

I/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).

I/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.

I/We understand that your website [www.plclients.com](http://www.plclients.com) shall provide detailed information about securities trading done through the use of wireless technology. 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.

I/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.

I/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.

I/We have read and understood the Company's policy for 'Voluntary Blocking of Trading Account by Clients' which has been implemented in pursuance of the SEBI circular **SEBI/HO/MIRSD/POD-1/P/CIR/2024/4** dated January 12, 2024 which allows me to instruct the Trading Member to temporarily block my trading account if and when I suspect unauthorised trading activity in my account.

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

Yours faithfully,

F22

Client Code

Voluntary

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

**Sub: Authorisation for maintaining Running Account**

Dear Sir(s),

We are a 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 authorisation at any time after giving request in writing.

This running account authorisation 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 your account on the settlement date, we may retain the funds to the permissible limits towards margin obligation as per exchange guidelines.

I authorise you to retain a sum in accordance with the 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,

F23

**Client Code**

**Date**

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

## Letter For NSE MFSS / BSE Star MF

Date

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

Voluntary

Prabhudas Lilladher Pvt. Ltd.

3rd Floor, Sadhana House,  
570 P B Marg, Worli, Mumbai 400 018

### 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 the 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 of 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 and 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,

F24

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/Authorised Person

Date  D  D  M  M  Y  Y  Y  Y

Voluntary

For Commodity Segment

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

**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 cognisance 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 the 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 authorise 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,

F25

Client Code

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

Date  D  M  M  Y  Y  Y  Y

Voluntary

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

**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).

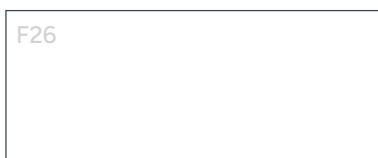
I/We agree and undertake to square-off my/our open intraday trades on the same day any time before 20 minutes of normal market close or such other time as may be informed to me/us through email or otherwise. In the event of my/our failure to square off all outstanding intraday trades by the predefined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

F26



**Client Code**



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

## Confirmation of the Arrangement with Sub-Broker/Authorised Person

Date

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

Voluntary

Prabhudas Lilladher Pvt. Ltd.

3rd Floor, Sadhana House,  
570 P B Marg, Worli, Mumbai 400 018

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.

I hereby agree for the arrangement with the client

Signature

Partner Name

Yours faithfully,

F27

Client Code

\_\_\_\_\_

Partner Code \_\_\_\_\_

## Confirmation Under the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standards (CRS) - Non-Individual Account

### 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 ownership information & certain certification/documentation from our account holders. Such information may either be sought at the time of account opening or at any time subsequently. Under 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 consult your tax advisor. Should there be any change in the information provided by you, please ensure to inform us within 30 days of such a change.

Towards compliance with such laws, we may also be required to provide information to any institution 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 be constrained to withhold & pay out sums from your account or close or suspend your account(s).

### FATCA-CRS Instructions

If you are a Citizen of the USA or a Resident or Green-Card Holder, please include USA in the Foreign Country information field along with your USA Tax Identification number. The provisions of FATCA are contained in the US Hire Act, 2010. It is mandatory to supply a TIN or a functional equivalent if the country in which you are a tax resident issues such an identification number. If no TIN is yet available or has not been issued, please provide an explanation in a separate attachment to this form.

We will not be responsible for any action taken by tax authorities if incorrect/ incomplete information is shared by you.

	First/ Sole/ Minor's Guardian		Second Holder		Third Holder	
<b>Name of Holder/s</b>						
<b>Place of Incorporation</b>						
<b>Country of Incorporation</b>						
<b>Are you a Tax-Resident of country other than India?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>If yes, country of jurisdiction of Tax-Residency</b>						
<b>Tax Identification No. (TIN) issued by country</b>						
<b>Tax Identification Type</b>						
<b>Address in Tax Resident Country</b>						
<b>Are any of your Director / Promoter / Signatory/ POA holder holding USA Residence or Citizenship?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Does your entity have a USA Beneficiary or USA shareholders with more than 10% ownership on vote or stock-value or partners owning more than 10% profit or capital interest?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

<b>Do you have USA telephone no.?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>USA residence/ mailing/ PO box address</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Do you pay tax in the USA?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Do you hold any identification no. in USA?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
<b>Is your PoA holder a citizen of USA?</b>	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No

We have understood the information requirements of this form (read along with FATCA-CRS instructions) and hereby confirm that the information provided by me/us on this declaration form & on KYC form is true, correct, and complete. We have read and understood the FATCA-CRS terms and conditions and hereby accept the same.

<b>First/Sole Holder</b>	<b>Second Holder</b>	<b>Third Holder</b>
<b>Signature</b>	F28	S9
		T9

(All signatures to be made under Entity's Rubber-stamp)

## ACKNOWLEDGEMENT

**Mandatory**

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

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.

I/We hereby confirm that I/We have clearly understood and agree to abide by the Policies and Procedures described by Prabhudas Lilladher Private Limited (PL).I/We have read and understood the Terms and Conditions governing securities trading and broking services of PL and agree to abide by the same.I/We also understand and agree that these Policies and Procedures as well as Terms and Conditions may be amended by PL from time to time, with prior notice of 15 days provided via 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**




**Signatures\***

F29

S10

T10

**Date**

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

**Place**

## 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

Signature of Sub-broker or Authorised Person

Signature

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

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

Date  D  D  M  M  Y  Y  Y  Y

Date  D  D  M  M  Y  Y  Y  Y

## FOR HO OFFICE USE ONLY

**1. AOF Received on:**  D  D  M  M  Y  Y  Y  Y

**2. AOF Processed on:**  D  D  M  M  Y  Y  Y  Y

**3. KYC Fetched from KRA on:**  D  D  M  M  Y  Y  Y  Y

**4. KYC Status at KRA:**

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

Others

Please Specify

	Trading Account	Demat Account
Entered by / Date		
Verified by / Date		
Remarks (If any)		



**Prabhudas Lilladher Private Limited**

**Regd. Office:** 3rd Floor, Sadhana House, 570, P. B. Marg, Worli, Mumbai - 400 018.  
Tel.: +91 22 6632 2222 | [www.plindia.com](http://www.plindia.com)

**SEBI Common Regn. No.:** INZ000196637

**Depository Common Regn. No.:** IN-DP-439-2019