

CLIENT CODE: _____ CLIENT NAME: _____



PART – A

INDSEC SECURITIES AND FINANCE LIMITED

Exchange	Segment	SEBI Registration No.	Date on SEBI Registration Certificate
National Stock Exchange of India Limited (NSE)	Capital Market and Wholesale Debt Market Segment	INB230601039	27 th May, 1994
	Futures and Option Segment	INF230601039	25 th May, 2000
	Currency Derivative Segment	INE230601039	23 rd January, 2009
BSE Limited (BSE)	Capital Market and Wholesale Debt Market Segment	INB010633435	1 st September, 1994

Depository	SEBI Registration No.	Date on SEBI Registration Certificate
National Securities & Depository Limited (NSDL)	IN-DP-NSDL-13-96	2 nd December, 1996

REGISTERED / CORRESPONDENCE OFFICE ADDRESS

301/302, "215 Atrium", A Wing, Andheri Kurla Road, Chakala, Andheri (East), Mumbai - 400 093

CONTACT DETAILS

- **Dealing Room (Equity):** +91-22 - 6114 6114 / 2839 6114 • **Debt (WDM):** +91-22 - 6114 6187
- **Operations:** +91-22 - 6114 6100 • **Fax:** +91-22 - 6114 6180 / 6186 • **Website:** www.indsec.co.in
- **E-mail:** isfl@indsec.co.in • **Investor's Grievances:** isfl_invgrv@indsec.co.in

Compliance Officer	CEO/MD
Mr. Diamond Dand Tel No : +91-22-6114 6107 Email Id: co@indsec.co.in	Mr. Nandkishore Gupta Tel No : +91-22-6114 6100 Email ID: ngupta@indsec.com

For any grievance/dispute please contact Indsec Securities and Finance Limited at the above address or email id- isfl_invgrv@indsec.co.in and Phone no. **+91-22-6114 6100**. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange	Contact Nos.	Website	Email ID
National Stock Exchange of India Limited	+91-22-26598190 / 1800220058	www.nseindia.com	ignse@nse.co.in
BSE Limited	+91-22-2272 8097	www.bseindia.com	is@bseindia.com

	BSE	NSE
Name of Clearing Member	Indsec Securities & Finance Ltd.	Indsec Securities & Finance Ltd.
Clearing No.	096	06010
DP ID	IN300062	IN300062
CM BP ID	IN600967	IN500909
CLIENT ID	10000131	10000070

ACCOUNT OPENING KIT (Part A)

INDEX

SN	Particulars	Significance	Pg.#
Mandatory Documents as prescribed by SEBI & Exchanges			
1.	Account Opening Form	KYC form - Document captures the basic information about the constituent, Annexure – I–Details of Promoters / Partners / Karta / Trustees and whole time directors, Annexure II – Details of Persons authorized to deal in securities on behalf of company/firm/ others and an instruction/check list. (Part – I)	Part A (2-12)
		Document captures the additional information about the constituent relevant to trading account and an instruction/check list. (Part – II)	Part A(13-17)
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Part B (2-7)
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Part B (8-11)
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Part B (12-13)
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker. <ul style="list-style-type: none"> • Business Policy Document - Defining the various policy relating to the clients dealing with the company • Proprietary Trading - Disclosure of Proprietary Trading by Broker To Clients 	Part B (14-15) Part A – 18
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	Part A – 19
Voluntary Documents as provided by the Stock Broker			
7.	Running account authorization funds & securities	The client authorizes the broker to keep the stock and funds balance till instructions received from him	Part A – 20
8.	Declarations / Disclosures required under PMLA	The clients is required to make disclosures which are required for the purpose of monitoring for prevention of money laundering	Part A – 21
9.	Declaration from Client that trades done on own behalf	The client specifies that the trades are done for own/family purpose and not for broking business	Part A – 22

Signature Tally: (PART – A)

For Individual Clients	
Page No.	No. of Signatures
2	2 (Across the Photograph&bottom of page)
13	According to Trading Preference
15	1 (of Introducer)
15	1 (of Guardian, if Applicable)
15	2 (of 2 Witnesses, if Applicable)
16	1
18	1
19	1
20	2
21	1
22	1

For Non Individual Clients	
Page No.	No. of Signatures
5	1 (As per Mode of Operation)
6	1 (As per Mode of Operation)
8	1 (All Authorised Signatories)
13	According to Trading Preference
15	1 (of Introducer)
16	1 (of all Authorised Signatories)
18	1 (As per Mode of Operation)
19	1 (As per Mode of Operation)
20	1 (As per Mode of Operation)
21	1 (As per Mode of Operation)
22	1 (As per Mode of Operation)

NOTE: PLEASE AFFIX RUBBER STAMP WHERE SIGNATURES ARE REQUIRED TO BE DONE

KNOW YOUR CLIENT (KYC) APPLICATION FORM

PART - I

For Individuals

PHOTOGRAPH
Please affix your recent passport size photograph and **sign across it**

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**.

A. IDENTITY DETAILS

1. **Name of the Applicant:** _____
2. **Father's/ Spouse Name:** _____
3. **a. Gender:** Male/Female **b. Marital Status:** Single/Married **c. Date of birth:** _____ (dd/mm/yyyy)
4. **a. Nationality:** _____ **b. Status:** Resident Individual/ Non Resident/ Foreign National
5. **a. PAN:** _____
b. Unique Identification Number (UID)/ Aadhaar, if any: _____
6. **Specify the proof of Identity submitted:** _____

B. ADDRESS DETAILS

1. **Residence Address:** _____

City/town/village: _____
Pin Code: _____ State: _____ Country: _____
2. **Contact Details:** Tel. (Off.) _____ (Res.) _____ Mobile No.: _____
Fax: _____ Email id: _____
3. **Specify the proof of address submitted for residence address:** _____
4. **Permanent Address** (if different from above or overseas address, mandatory for Non-Resident Applicant):

City/town/village: _____
Pin Code: _____ State: _____ Country: _____

DECLARATION

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



Signature of the Client

Date: _____ (dd/mm/yyyy)

Originals verified and Self-Attested Document copies received

For Indsec Securities and Finance Limited

Signature of the Authorized Signatory

Name: _____

Date _____

Seal/Stamp of the intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM

For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name of the Applicant: _____
2. Date of incorporation: _____ (dd/mm/yyyy) & Place of incorporation: _____
3. Date of commencement of business: _____ (dd/mm/yyyy)
4. a. PAN: _____ b. Registration No. (e.g. CIN): _____
5. Status (please select any one): Private Limited Co./ Public Ltd. Co./ Body Corporate/
 Partnership/ Trust/ Charities/ NGO's/ FI/ FII/ HUF/ AOP/ Bank/
 Government Body/ Non-Government Organization/ Defense Establishment/ BOI/
 Society/ LLP/ Others (please specify) _____

B. ADDRESS DETAILS

1. Address for correspondence: _____

City/town/village: _____
Pin Code: _____ State: _____ Country: _____
2. Contact Details: Tel.(Off.) _____ (Res.) _____ Mobile No.: _____
Fax: _____ Email id: _____
3. Specify the proof of address submitted for correspondence address: _____
4. Registered Address (if different from above): _____


City/town/village: _____
Pin Code: _____ State: _____ Country: _____


C. OTHER DETAILS

1. Name, PAN, Residential address and photographs of Promoters / Partners / Karta / Trustees and whole time directors : Refer Annexure I
2. a) DIN of whole time directors : Refer Annexure I
b) Aadhar number of Promoters / Partners / Karta : Refer Annexure I

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.

 _____

 _____

 _____

Signature of the Authorized Signatory(ies)
(As per Mode of Operation)

Name(s):

Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

For Indsec Securities and Finance Limited

Signature of the Authorized Signatory

Name: _____

Date _____

Seal/Stamp of the intermediary

Indsec Securities and Finance Limited

Annexure – I :Details of Promoters / Partners / Karta / Trustees and whole time directors

Sr. No.	Name	Designation	Residential Address	PAN	DIN(for Directors)/UID(for Others)	Photograph
1						Please affix recent passport size photograph
2						Please affix recent passport size photograph
3						Please affix recent passport size photograph



Signature of the Authorized Signatory(ies)(As per Mode of Operation)

Date:_____ (dd/mm/yyyy)

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Indsec Securities and Finance Limited

Annexure – II: Details of Persons authorized to deal in securities on behalf of company/firm/others

Sr. No.	Name	Designation	Residential Address	PAN	DIN(for Directors)/UID(for Others)	Signature(s) (with rubber stamp)	Photograph
1							Please affix recent passport size photograph and sign across it
2							Please affix recent passport size photograph and sign across it
3							Please affix recent passport size photograph and sign across it

Note: Any change in the list of Authorized Signatories shall be intimated immediately.

Date: _____ (dd/mm/yyyy)

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INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

B. Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID Card/ Driving License.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.

4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

*(*Sufficient documentary evidence in support of such claims to be collected.)*

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (latest to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.

Types of entity	Documentary requirements
	<ul style="list-style-type: none"> • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorized signatories list with specimen signatures.
Partnership firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (latest to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorized signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (latest to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorized to act as authorized signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

TRADING ACCOUNT RELATED DETAILS

PART - II

For Individuals & Non-individuals

A. BANK ACCOUNT(S) DETAILS

Bank Name	Branch address	Bank account no.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code

(In case of more Bank Accounts please provide details in separate Annexure)





B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

(In case of more DepositoryAccounts please provide details in separate Annexure)

C. TRADING PREFERENCES

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

Exchanges	Segments	Signature(s)	Segments	Signature(s)
NSE	Cash		Currency Derivative	
	F&O		----	-----
BSE	Cash		----	-----

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

D. PAST ACTIONS

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

E. OTHER DETAILS

1. **Gross Annual Income Details (please specify):** Income Range per annum: Below Rs 1 Lac / 1-5 Lac / 5-10 Lac / 10-25 Lac / 25 Lac-1 crore / >1 crore
2. **Net-worth as on** (date) _____ (dd/mm/yyyy):
_____ (*Net worth should not be older than 1 year)
3. **Occupation (please tick any one and give brief details – applicable only to “Individual” Client):**
Private Sector/Public Sector/Government Service/Business/Professional/Agriculturist/Retired/Housewife/Student/Others

3. **Please tick, if applicable, for YOU/any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors:** Politically Exposed Person (PEP)/ Related to a Politically Exposed Person (PEP)
4. **Any other information:** _____

F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name: _____

SEBI Registration number: _____

Registered office address: _____

_____ Ph: _____ Fax: _____ Website: _____

- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of stock broker: _____

Name of Sub-Broker, if any: _____

Client Code: _____ Exchange: _____

Details of disputes/dues pending from/to such stock broker/sub- broker: _____

G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify) : Physical Contract Note
Specify your Email id, if applicable : N.A.
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): N.A.
- Number of years of Investment/Trading Experience: _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of **persons authorized to deal in securities on behalf of company/firm/others: Refer Annexure II**
- Any other information: _____

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
(Surname) (Name) (Middle Name)

Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/
Others, please specify _____

Address and phone no. of the Introducer: _____

Signature of the Introducer: ⊗ _____

I. NOMINATION DETAILS (for individuals only)

I/We wish to nominate I/We do not wish to nominate

Name of the Nominee: _____ PAN of Nominee: _____

Relationship with the Nominee: _____ Date of Birth of Nominee: _____

Address and phone no. of the Nominee: _____

If Nominee is a minor, details of guardian:

Name of guardian: _____

Address and phone no. of Guardian: _____

Signature of guardian ⊗ _____

WITNESSES (Only applicable in case the account holder has made nomination)

Name : _____ Name : _____

Signature : ⊗ _____ Signature : ⊗ _____

Address: _____ Address: _____

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website i.e. **www.indsec.co.in**





Place _____

Date _____



Signature of Client/ (all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Date			
Signature			

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For Indsec Securities and Finance Limited

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Date _____

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

- a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

5. For non-individuals:

- a. Form need to be initialized by all the authorized signatories.
- b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENTS

We refer to circular No. SEBI/MRD/SE/Cir-42/2003 dated 19th November 2003 issued by Securities and Exchange Board of India, in connection with the above and in terms of the said circular we disclose that we undertake proprietary trading, arbitrage as well as investment business on our account in addition to client based business.

For Indsec Securities & Finance Limited

Authorised Signatory

Date: _____(dd/mm/yyyy)



Client's Signature/Authorised Signatory with Stamp

TARIFF SHEET (STATEMENT OF CHARGES)

1) Brokerage Rates*

i. Cash Market (Normal Stock)

a. Delivery _____

b. Jobbing (One side) _____

ii. Cash Market (Penny Stock–Market Value < Rs.10/-)

a. Delivery _____

iii. Cash Market (Auction Trade)

a. Demat Account with us 1%

b. Demat Account with other DP 2%

iv. F & O – Open Position _____

v. F & O – Jobbing _____

vi. F & O – Options _____

* *Brokerage Rates at any point of time will not exceed the maximum limit as prescribed by SEBI/ Exchanges from time to time*

2) Statutory Charges

Service Tax, Securities Transaction Tax, Stamp Duty, Exchange Turnover Charges, any other statutory and regulatory dues will be charged extra at the rates prevailing from time to time as prescribed by Government/ SEBI/ Exchanges;

3) Delayed payment charges – 18% p.a. for a period beyond T+2 days

For Indsec Securities & Finance Limited

Authorised Signatory

Date: _____ (dd/mm/yyyy)



Client's Signature/Authorised Signatory with Stamp

RUNNING ACCOUNT AUTHORIZATION(VOLUNTARY CLAUSES)

I/ We are dealing through you as a client in **Capital Market** and/or **Future & Option segment**and/or**Currency Derivative segment**in order to facilitate ease ofoperations and upfront requirement of margin for trade, I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/ pay-in /other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/we instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/ other future obligation(s) atany segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/we instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities once in every calendar(*Strike out whichever is not applicable*):

Month

Quarter



Or such other higher period as allowed by SEBI/Stock Exchange from time to time.

4. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/fundstowards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by SEBI/ Exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account orstatement related to it, as the case may be at your registered office.
6. I/We confirm you that I can revoke the above mentioned running account authorization at any time.

Thanking you

Date: _____ (dd/mm/yyyy)



_____ **Client's Signature/Authorised Signatory withStamp**

DECLARATIONS / DISCLOSURES REQUIRED UNDER PMLA

1) If NRI or FN,

a. Whether holding prominent public function in Foreign Country? If yes, then explain the type of function performed. _____

b. Whether any of your close relative is occupying a prominent Public Function in a Foreign Country? If yes, then please provide details. _____

2) List of companies in which not allowed to trade (*attach a separate list if required*):

a)	b)
c)	d)
e)	f)

3) I am interested directly/ through my relative(s) in the following body corporate (*attach a separate list if required*):

Name of the body corporate	Nature of Interest	Address of Corporate / ISIN

Date: _____ (dd/mm/yyyy)



Client's Signature/Authorised Signatory with Stamp

DECLARATION

TO WHOMSOEVER IT MAY CONCERN

I/We Mr. / Ms. / M/s. _____,
hereby declare that all trades entered by me/us with **INDSEC SECURITIES AND FINANCE LTD.** on BSE /
NSE are for my/our corporate/personal account.

I/we confirm I/we do not operate for any client and no contracts are issued by me/us.

Date: _____ (dd/mm/yyyy)



Client's Signature/Authorised Signatory with Stamp

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