

# CLIENT REGISTRATION DOCUMENT

# ISS ENTERPRISE LIMITED



**Registered Office:** International Infotech Park, Tower 7, 5th Floor,  
Sector 30 A, Vashi, Navi Mumbai - 400 703.  
Tel.: (022) 6182 9500

E-mail : [crd@iseindia.com](mailto:crd@iseindia.com), Internet URL: <http://www.isesec.com>  
CIN: U67190MH2000PLC123707

Multi Commodity Exchange of India Limited (MCX)

**Member:** National Stock Exchange of India Limited (NSE)  
Bombay Stock Exchange Limited (BSE)

**SEBI REGISTRATION NUMBER : INZ000157633**

EXCHANGE	MEMBERSHIP CODE	SEGMENTS REGISTERED
NSE	10777	<ul style="list-style-type: none"> <li>• EQUITIES</li> <li>• FUTURES AND OPTIONS</li> <li>• CURRENCY DERIVATIVE</li> </ul>
BSE	918	<ul style="list-style-type: none"> <li>• EQUITIES</li> </ul>
MCX	57070	<ul style="list-style-type: none"> <li>• COMMODITY DERIVATIVES</li> </ul>

DP SEBI REG No.: IN-DP-392-2018

**DP ID: 13023400**

**Authorised Person Name :** \_\_\_\_\_

Authorised Person Code :				
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**Client Name:**

Client Code:								
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Cover page 2

## ACCOUNT OPENING KIT

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#### MANDATORY FOR DEPOSITORY SERVICES

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#### MANDATORY DOCUMENTS FOR TRADING AS PRESCRIBED BY SEBI & EXCHANGES

1	Account Opening Form	A. KYC form – Document captures the basic information about the constituent and an instruction/check list.	30
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2	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, authorised person and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	42
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5	Policies and Procedures	Document describing significant policies and procedures of the stock broker	51
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7	Non Mandatory Rights & Obligation	Document describing supplementary rights & Obligations of stock broker / trading member, authorised person and client for trading on exchanges	55
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9	Running Account Authorization	Helps the client to enjoy exposures linked to credit in the trading account.	65
10	Letter of Authority-CASH/ F&O I Currency Segment (Annexure-10)	To enable the trading member to act upon the clauses mentioned in the letter of authority	66



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**DP SEBIREG No.: IN-DP-392-2018**

**DP ID: 13023400**

**Registered Office Address** : International Infotech Park, 5th Floor,  
Tower No. 3 & 7, Above Vashi Railway Station,  
Sector 30, Vashi, Navi Mumbai- 400703.  
Tel.: (022) 6182 9500  
Website: [www.isesec.com](http://www.isesec.com)  
CIN: U67100MH2000PLC123707

**Corporate cum Correspondence Office Address** : International Infotech Park, 5th Floor,  
Tower No. 3 & 7, Above Vashi Railway Station,  
Sector 30, Vashi, Navi Mumbai- 400703.  
Tel.: (022) 6182 9500  
Website: [www.isesec.com](http://www.isesec.com)

**Compliance Officer Name** : Mr. M. V. Swaminath  
**Phone no** : 9841977419  
**Email id** : [swaminathmv@iseindia.com](mailto:swaminathmv@iseindia.com)

For any grievance/dispute please contact stock broker **ISS ENTERPRISE LIMITED** at the above address or email at [ig@iseindia.com](mailto:ig@iseindia.com) or call on (022) - 61829528. In case not satisfied with the response, please contact the concerned exchange(s). For BSE mail at [is@bseindia.com](mailto:is@bseindia.com) or call on (022) - 22728097, for NSE mail at [ignse@nse.co.in](mailto:ignse@nse.co.in) or call on (022)-26598190.



**CKYC & KRA FORM****CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual****Important Instructions:**

- A) Fields marked with “\*” are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines/ instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end. F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**For office use only**

Application Type\*

☐ New☐ Update

(To be filled by financial institution)

KYC Number

(Mandatory for KYC update request)

Account Type\*

☐ Normal☐ Simplified (for low risk customers)☐ Small☐ OTP Based E-KYC**1. PERSONAL DETAILS** (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> SelfEmployed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)		
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

**Photo**  
  
**Signature**  
**Thumb impression**

**2. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

**3. PROOF OF ADDRESS (PoA)\*****3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential/ Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	please specify
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

**Address**

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

**3.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \*** (Please see instruction E at the end)☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence /local addresses, please fill 'Annexure A1')

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

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## Instructions/Guidelines for filling individual KYC Application Form

### General instructions:

1. Self-Certification of documents is mandatory.
2. KYC number of applicant is mandatory for update/change of KYC details.
3. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
4. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the list mentioned under [I].
5. If any proof of identity or address is in a foreign language, then translation into English is required.
6. Name and Address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
7. If correspondence & permanent addresses are different, than proofs for both have to be submitted.
8. Sole proprietor must make the application in his individual name & capacity.
9. For non-residents and foreign nationals, (allowed to trade subject RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof mandatory.
10. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
11. 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.

### A. Clarification/ Guidelines on filling 'Identity Details' section

1. Name: Please state the name with Prefix ( Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the proof of identity submitted failing which the application is liable to be rejected.
2. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

### B. Clarification/ Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

1. Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/ insurance number, citizen/personal identification/service code/number, and resident registration number)

### C. Clarification/ Guidelines on filling 'Proof of Identity [Pol]' section, if PAN Card copy is not enclosed/For PAN exempt Investors

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification/ reference number if 'Z- Others (any document notified by the central government)' is ticked.
3. 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 affiliate to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. Letter issued by a gazette officer, with a duly attested photograph of the person.

### D. Clarification/ Guidelines on filling 'Proof of Address [PoA] section

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account of Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central / State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertaking, 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 card/Debit cards issued by Banks.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

### E. Clarification/ Guidelines on filling 'Proof of Address [PoA]-Correspondence/ Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence/local addresses, Please fill 'Annexure A1'
3. Others includes-Utility bill which is not more than two months old of any service provider {electricity, telephone, post-paid mobile 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; 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; and Credit cards/Debit cards issued by Banks.

### F. Clarification/ Guidelines on filling 'Contact details' section

1. Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

### G. Clarification/ Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

### H. Clarification/ Guidelines on filling 'Related Person details-Proof of Identity [Pol] of Related Person' section

1. Mention identification/reference number if 'Z- Others (any document notified by the central government)' is ticked.

### I. List of people authorized to attest the documents after verification with the originals:

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYO compliant mutual fund distributors.
4. 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).
5. 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.
6. Government authorised officials who are empowered to issue Apostille Certificates.

**J. List of people authorized to perform In Person Verification (IPV):**

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (for investors investing directly).
5. In case of NRI applicants, a person permitted to attest documents, may also conduct the In Person Verification and confirm this in the KYC Form.

**K. PAN Exempt Investor Category**

1. Investments (including SIPs), in Mutual Fund schemes upto 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.

List of Two-Digit state / U.T Codes as per Indian Motor Vehicle Act, 1988					
State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 Two-Digit Country Code							
Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Åland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire / Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion / Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao / Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy / Saint-Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

## Additional KYC Form for Opening a Demat Account

## For Individuals



## ISS ENTERPRISE LIMITED

Corporate & Registered Office: International Infotech Park, 5th Floor, Tower No. 3 & 7, Above Vashi Railway Station, Sector 30, Vashi, Navi Mumbai- 400703. DP e-mail ID dp@iseindia.com

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID											Client ID								

(To be filled by the applicant in **BLOCK LETTERS** in English)

I/We request you to open a demat account in my/ our name as per following details:-

## Holders Details

Sole / First Holder's Name	PAN																		
	UID																		
	UCC																		
	Exchange Name & ID																		
Second Holder's Name	PAN																		
	UID																		
Third Holder's Name	PAN																		
	UID																		

Name \*

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

## Type of Account (Please tick whichever is applicable)

Status	Sub – Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/C (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI Non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (specify) _____	

## Details of Guardian (in case the account holder is minor)

Guardian's Name			PAN	
Relationship with the applicant				
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')			[Automatic Credit] <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my/our end (If not marked, the default option would be 'No')			<input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly			
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____			<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to share the email ID with the RTA			<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to receive the Annual Report	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)			

DP Charges	I/We authorize ISS Enterprise Limited to debit DP Charges (including Annual Maintenance Charges) to my/our trading account.
------------	---

I/ We wish to receive dividend / interest directly in to <b>my</b> bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
--	--

## Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)																			
IFS Code (11 character)																			
Account number																			



Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country	PIN code					

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)  
(ii) Photocopy of the Bank Statement having name and address of the BO  
(iii) Photocopy of the Passbook having name and address of the BO, (or)  
(iv) Letter from the Bank.  
➤ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

<b>Other Details</b> Gross Annual Income Details	<b>Income Range per annum:</b> <input type="checkbox"/> Up to Rs.1,00,000 <input type="checkbox"/> Rs 1,00,000 to Rs 5,00,000 <input type="checkbox"/> Rs 5,00,000 to Rs 10,00,000 <input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000 <input type="checkbox"/> More than Rs 25,00,000									
	Net worth as on (Date) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Rs									
	[Net worth should not be older than 1 year]									
Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Specify) _____									
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)									
Any other information:										

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)) (if POA is not granted & you do not wish to avail of this facility, cancel this option).	
<b>Easi</b>	To register for <b>Easi</b> , please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . <b>Easi</b> allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

**MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)**

<input type="checkbox"/> Jointly	<input type="checkbox"/> Anyone of the Holder
----------------------------------	---

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be **first holder**).

<input type="checkbox"/> first Holder	<input type="checkbox"/> All Holder	Email id
	<input type="checkbox"/> Second Holder	
	<input type="checkbox"/> Third Holder	

**Nomination Details**

Nomination Registration No.	Dated
-----------------------------	-------

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			



- ☐ I/We **nominate** the following persons who is/**are** entitled to receive security/assets balances lying in my/our account, particulars where of are given below, in the event of my / our death.

Nomination Details	Nominee 1	Nominee 2	Nominee 3
Nominee Name : *First Name: ..... Middle Name: ..... *Last Name .....	.....	.....	.....
<b>*Percentage of allocation of securities</b>  <input type="checkbox"/> Equally [If not equally, please specify percentage]  <b>Or</b>  <input type="checkbox"/> Share of each Nominee	%	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form</i>			
Nomination Identification Details – [Please tick any one of following and provide details of same]	Nominee 1	Nominee 2	Nominee 3
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID <b>[Optional Fields]</b>			
*Address:			
*City			
*State			
*Pin			
*Country			

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

Mobile no/Telephone No. [Optional Fields]			
Email ID: [Optional Fields]			
FAX No. [Optional Fields]			
.			
*Relationship with the BO:			
<b>To be filled only if nominee(s) is a minor:</b>			
Date of birth (mandatory if Nominee is a minor) dd-mm-yyyy			
Name of the Guardian of Nominee (if nominee is a minor)			
*First Name:	.....	.....	.....
Middle Name:	.....	.....	.....
*Last Name	.....	.....	.....
*Address of the guardian of nominee:			
*City			
*State			
*Country			
*PIN			
Age			
Mobile /Telephone no [Optional Fields]			
Email ID: [Optional Fields]			
Fax No. [Optional Fields]			
*Relationship of the Guardian with the Nominee			
Guardian Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN Aadhaar Saving Bank account no. Proof of Identity <input type="checkbox"/> Demat Account ID [Optional Fields]			

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

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

**\* Marked is Mandatory field**

**Note:**

Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination /negative nomination]

Details of the Witness	
	Witness Details
Name of witness	
Address of witness	
Signature of witness	

The Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signatures			

**(Signatures should be preferably in blue ink).**

===== (Please Tear Here) =====

**Acknowledgement Receipt**

**Application No.:**

**Date:**

We hereby acknowledge the receipt of the Account Opening and nomination Application Form:

Name of the Sole / First Holder	
Name of Second Holder	
Name of Third Holder	

**Depository Participant Seal and Signature**

===== (Please Tear Here) =====

**INTENTIONALLY BLANK**



# ISS ENTERPRISE LIMITED

Registered Office: International Infotech Park, 5th Floor, Tower No.3 & 7, Above Vashi  
Railway Station, Sector-30, Vashi, Navi Mumbai - 400703. Tel : (022)61829500/518/519/520  
DP e-mail : [dp@iseindia.com](mailto:dp@iseindia.com) Web: [www.isesec.com](http://www.isesec.com)

DATE	D	D	M	M	Y	Y
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BOID																			
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## ISS TARIFF

w.e.f. 01<sup>st</sup> April, 2016

Details	<input type="checkbox"/> I/We Wish to open a Regular Demat Account	<input type="checkbox"/> I/We Wish to open Basic Services Demat Account (BSDA)
	Regular Demat Account	Basic Services Demat Account (BSDA)
Account opening charge	Nil	Nil
Custody Charges	Nil	Nil
For Individual Account No AMC for Life Time	Interest free Refundable Security Deposit of Rs.4000/-	NA
Annual Maintenance Charges	Rs. 300/- Rs.1000/-	<b>AMC Based on holding value:</b>
• Individual Account • Corporate/Trust/LLP Account		• Upto Rs. 50000/- ----- NIL • Between Rs. 50001 to 200000/- Rs.100/- • Above 200000/- ----- Rs.300/-
KRA-KYC Creation/ Modification/ Download Charges	Rs. 45/-	Rs. 45/-
Dematerialization/ Destat	Rs.6/- Per Certificate + Courier Charges of Rs.30/-	Rs.6/- per Certificate + Courier Charges of Rs.30/-
Demat /Destat rejection	Rs.20/- Per ORF + Courier Charges of Rs.30/-	Rs.20/- Per ORF + Courier Charges of Rs.30/-
Rematerialization	Rs.15/- Per Every 100 Shares or part thereof Or Rs.15/- Per Certificate Whichever is higher	Rs.15/- Per Every 100 Shares or part thereof Or Rs.15/- Per Certificate Whichever is higher
Redemption	Rs.15/-	Rs.15/-
Transaction (Debit)	Rs. 15/-	Rs.40/-
Transaction (Credit)	Nil	Nil
Failed Transaction	Nil	Nil
Pledge Creation/Confirmation /Closure /Closure Confirmation / Margin Pledge /Unpledge	Rs.24/- Per Transaction	Rs.24/- Per Transaction
Pledge Invocation	Rs.50/- Per Transaction	Rs.50/- Per Transaction
Re-issue of DIS Booklet	Rs.10/- + Courier Charges Rs.30/-	Rs.10/- + Courier Charges Rs.30/-

### Notes:

- Charges for additional statements for regular Demat account: Physical statement would be charged @ Rs. 2/- per page plus Rs. 30/- courier charges.
- Charges for additional statements for BSDA:- Physical statements would be charged at Rs. 25/- Per Statement plus courier charges of Rs.30/-.
- Any Modification request/Communication to BO, a minimum charges of Rs. 30/- or actual courier/postal charges whichever is higher.
- Actual charges for sending consolidated statement of Account (CAS) by CDSL directly to BOs will be debited to respective BOs at the time of billing.
- Service Tax and other applicable taxes/levies are charged in addition to the above mentioned rates.
- Interest free Refundable deposit will be refunded on Closure of Account after adjusting dues if any.
- AMC/Transaction and all other charges are collected upfront.
- The Annual Maintenance Charges are levied in advance for a period of one year at the beginning of the billing cycle.
- BOs are requested to maintain sufficient credit balance in Demat account in order to avoid non execution of delivery instruction slip(s) (DIS)/any other instruction (s)
- BOs shall always maintain Rs. 500/- credit balance in the account for availing Electronic access to securities information & Execution of Secured transactions (easiest) facility.
- ISS reserves the right to change the rates from time to time by giving one month notice.
- I/We agree to the above terms and conditions.

1<sup>ST</sup> HOLDER

2<sup>ND</sup> HOLDER

3<sup>RD</sup> HOLDER

**INTENTIONALLY BLANK**





# ISS ENTERPRISE LIMITED

**Corporate Office:** International Infotech Park, 5th Floor, Tower No. 3 & 7, Above Vashi Railway Station, Sector 30, Vashi, Navi Mumbai- 400703. Tel.: (022) 6182 9500 Website: [www.isesec.com](http://www.isesec.com)  
**Registered Office:** International Infotech Park, 5th Floor, Tower No. 3 & 7, Above Vashi Railway Station, Sector 30, Vashi, Navi Mumbai- 400703. DP e-mail ID: [dp@iseindia.com](mailto:dp@iseindia.com) <<mailto:dp@iseindia.com>>

## **Terms And Conditions - cum -Registration / Modification Form for receiving SMS Alerts from CDSL**

**[SMS Alerts will be sent by CDSL to BOs for all debits]**

### **Definitions:**

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

1. "Depository" means central Depository Services (India) Limited a company incorporated in India under the companies Act 1956 and having its registered office at 171h Floor, P. J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions

### **Availability:**

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

### **Receiving Alerts:**

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

**Fees:**

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

**Disclaimer:**

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

**Liability and Indemnity:**

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

**Amendments:**

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

**Governing Law and Jurisdiction:**

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

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

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

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

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

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID

1	3	0	2	3	4	0	0										
---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digits DPID)

(Please write your 8 digit Client ID)

Sole /First Holder's Name : \_\_\_\_\_

Second Holder's Name : \_\_\_\_\_

Third Holder's Name : \_\_\_\_\_

Mobile Number on which messages are to be sent

+91															
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of : \_\_\_\_\_

Email ID : \_\_\_\_\_

(Please write only ONE valid email ID on which communication; if any, is to be sent)

Signatures

Sole/First Holder

Second Holder

Third Holder

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

Date: \_\_\_\_\_

## ***Annexure 2.7 Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories***

### **General Clause**

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### **Beneficial Owner information**

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### **Fees/Charges/Tariff**

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### **Dematerialization**

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### **Separate Accounts**

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/ Operating Instructions/Business Rules of the Depositories.

### **Transfer of Securities**

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

### **Statement of account**

14. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
15. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
16. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
17. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

**Manner of Closure of Demat account**

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

**Default in payment of charges**

20. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
21. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

**Liability of the Depository**

22. As per Section 16 of Depositories Act, 1996
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

**Freezing/ Defreezing of accounts**

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

**Redressal of Investor grievance**

25. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

**Authorized representative**

26. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

**Law and Jurisdiction**

27. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
28. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
30. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
31. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

Date	D	D	M	M	Y	Y	Y	Y
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**INTENTIONALLY BLANK**



<b>Know Your Client (KYC)</b> <b>Application Form (For Non- Individuals Only)</b> <small>Please fill the form in ENGLISH and in BLOCK letters  Fields marked * are mandatory  Fields marked * are pertaining to CKYC and mandatory only if processing CKYC also</small>	<div style="text-align: right;"> CKYC NUMBER: _____  CVLKRA NUMBER: _____ </div>
Application Type*: <input type="checkbox"/> New KYC <input type="checkbox"/> Modification KYC	
<b>1. Entity Details (please refer guidelines)</b>	
PAN* <span style="float: right; font-size: small;">Please enclose a duly attested copy of your PAN Card</span> Name* (same as ID proof) _____ Date of Incorporation* _____ Place of Incorporation* _____ Date of Commencement* _____ Registration Number* _____ Entity Type* <div style="display: flex; justify-content: space-between; font-size: small;"> <div> <input type="checkbox"/> Private Ltd. Co.  <input type="checkbox"/> Trust/Charity/NGO  <input type="checkbox"/> AOP  <input type="checkbox"/> Body of Individuals  <input type="checkbox"/> Non-Government Organization  <input type="checkbox"/> Others _ </div> <div> <input type="checkbox"/> Public Ltd. Co.  <input type="checkbox"/> HUF  <input type="checkbox"/> Bank </div> <div> <input type="checkbox"/> Body Corporate  <input type="checkbox"/> FPI Category I  <input type="checkbox"/> Government Body  <input type="checkbox"/> Society </div> <div> <input type="checkbox"/> Partnership  <input type="checkbox"/> FPI Category II  <input type="checkbox"/> Defence Establishment  <input type="checkbox"/> LLP </div> </div>	
<b>2. Proof of Identity* (please refer the guidelines)</b>	
<div style="font-size: small;"> <input type="checkbox"/> Officially Valid Document(s) in respect of person authorized to transact  <input type="checkbox"/> Certificate of Incorporation/Formation _____ <input type="checkbox"/> Registration Certificate _____  <input type="checkbox"/> Memorandum of Articles and Association _____ <input type="checkbox"/> Partnership Deed _____ <input type="checkbox"/> Trust Deed _____  <input type="checkbox"/> Board Resolution _____ <input type="checkbox"/> Power of attorney granted to its manager, office, employees to transact on its behalf  <input type="checkbox"/> Activity Proof –1* (For Sole Proprietorship Only) _____ <input type="checkbox"/> Activity Proof –2* (For Sole Proprietorship Only) _____ </div>	
<b>3. Address Details* (please refer the guidelines)</b>	
<b>A. Registered Address*</b> Line 1* _____ Line 2 _____ Line 3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____	
<b>B. Correspondence/Local Address in India (if different from above)*</b> Line 1* _____ Line 2 _____ Line 3 _____ City/Town/Village* _____ District* _____ Pin Code* _____ State* _____ Country* _____	
	Applicant Digital Signature (DSC)

<b>Proof of Address*</b> (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"/> 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	<b>Validity/Expiry Date of POA</b> (Expiry Date) _____	
<input type="checkbox"/> Any other proof of address document (as listed overleaf) _____		
<b>4. Contact Details</b>		
Email ID _____	<u>Mobile No.</u> _____	
Email ID _____	<u>Mobile No.</u> _____	
Tel (off) _____	Fax _____	
<b>5. Annexures Submitted</b>		
Number of Related Persons - <span style="border: 1px solid black; display: inline-block; width: 80px; height: 20px; vertical-align: middle;"></span>		
<b>6. Remarks / Additional Information</b>		
<b>7. Applicant Declaration</b>		
I hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it.  I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.  DATE: _____ (DD-MM-YYYY)  PLACE: _____	Applicant Digital Signature (DSC)	Applicant Wet Signature
<b>8. For Office Use Only</b>		
KYC carried out by*	Intermediary Details*	
KYC Date _____  Emp. Name _____  Emp. Code _____  Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (Originals Verified) <input type="checkbox"/> True Copies of documents received (Attested)  AMC / Intermediary Name OR Code: _____	

**Know Your Client (KYC)****Application Form (For Individuals Only)**

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

**CDSL VENTURES LIMITED**

...Exploring New Horizons



Application Number: \_\_\_\_\_

Application Type\*: ☐ New KYC ☐ Modification KYC**KYC Mode\*:** Please Tick (✓)
☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker
**1. Identity Details** (please refer guidelines overleaf)

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name\* (if any) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\* ☐ Male ☐ Female ☐ TransgenderMarital Status\* ☐ Single ☐ MarriedNationality\* ☐ Indian ☐ Other \_\_\_\_\_Residential Status\* ☐ Resident Individual ☐ Non Resident IndianPlease Tick (✓) ☐ Foreign National ☐ Person of Indian Origin<sup>+</sup>

(Passport mandatory for NRIs and Foreign Nationals. PIO selection is only for CKYC and not for KRA KYC. Select NRI or Foreign National based on Nationality of the individual)

Recent passport size  
Applicant Photo

Cross Signature across photograph

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

☐ A — Aadhaar Card XXXX XXXX \_ \_ \_ \_ (Expiry Date) \_\_\_\_\_☐ B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ C — Voter ID Card \_\_\_\_\_ (Expiry Date) \_\_\_\_\_☐ D — Driving License \_\_\_\_\_☐ E — NREGA Job Card \_\_\_\_\_☐ F — NPR \_\_\_\_\_☐ Z — Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\*** (please refer guidelines overleaf)**A. Correspondence/ Local Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

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

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Applicant e-SIGN

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

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line3 \_\_\_\_\_

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

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

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

☐ A — Aadhaar Card XXXX XXXX \_\_\_\_ \_

☐ B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

☐ C — Voter ID Card \_\_\_\_\_

☐ D — Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

☐ E — NREGA Job Card \_\_\_\_\_

☐ F — NPR Letter \_\_\_\_\_

☐ Z—Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**3. Contact Details (in CAPITAL)**

Email ID\* \_\_\_\_\_

Mobile No. \* \_\_\_\_\_

Tel (Off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

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

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

DATE: \_\_\_\_\_ (DD-MM-YYYY)

PLACE: \_\_\_\_\_

Applicant e-SIGN

Applicant Wet Signature

**5. For Office Use Only**

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

## Instructions/Guidelines for filling 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 authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

### B. Proof of Identity (POI):

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 to be submitted only if the submitted Poi does not have an address or address as per Poi is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card/document with 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. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. 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 FIIs, 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 authorized to attest the documents:**

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized 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 & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

**F. Online Mode Processing of KYC:**

1. EKYC BIOMETRIC
  - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
  - The documents should be e-signed.
  - Applicant details are verified using UIDAI Biometric details.
  - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
  - Intermediary attestation on documents is exempted.
2. EKYC OTP
  - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
  - The documents should be e-signed.
  - Applicant details are verified using UIDAI details using OTP.
  - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
  - Intermediary attestation on documents is exempted.
3. ONLINE KYC
  - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
  - The documents should be e-signed.
  - Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
  - Intermediary attestation on documents (OSV) is exempted.
4. OFFLINE EKYC
  - Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
  - The documents should be e-signed.
  - Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
  - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
5. DIGILOCKER
  - Digital KYC performed through the documents (OVD) sourced from Digilocker.
  - Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
  - Intermediary attestation on documents is exempted.



Type of Entity	Additional Documents Required over and above PAN, POI and POA
Corporate	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to 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>• Authorized signatories list with specimen signatures.</li> <li>• Shareholding pattern.</li> </ul>
Partnership Firm	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to 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>• Authorized signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> <li>• Shareholding pattern.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last to 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 Trutees.</li> </ul>
HUF	<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>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Unincorporated Association or a Body of Individuals	<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>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Self certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<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 authorized to act as authorised signatories with specimen signatures.</li> <li>• True copy of society rules and by-laws certified by Chairman/Secretary.</li> </ul>
FPI Category I	<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>• Authorized signatories list with specimen signatures.</li> </ul>
FPI Category II	<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>• Authorized signatories list with specimen signatures.</li> </ul>

**FATCA/CRS DECLARATION (INDIVIDUALS)****(FOREIGN ACCOUNT TAX COMPLIANCE ACT/ COMMON REPORTING STANDARDS)**

Please seek appropriate advice from your tax professional on your tax residency, related FATCA &amp; CRS guidance

**ISS Enterprise Limited****International Infotech Park, 5<sup>th</sup> Floor, Tower No. 3 & 7,****Above Vashi railway Station, Sector 30, Vashi, Navi Mumbai -400703.**

Name	
DP - Client Id	
Broking Code - UCC Code	
PAN	
Is your country of tax residency other than India <i>(fill YES or NO, if YES Please give the below given details otherwise not required)</i>	
Country of Residence	
Place / City of Birth	
Country Of Birth	
Tax Identification Number or equivalent (If issued by jurisdiction)	

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

**Signature of Client/s****(In case of Joint account, all joint holders shall sign)****Place:****Date:**

**FATCA/CRS DECLARATION (NON- INDIVIDUALS)**

(FOREIGN ACCOUNT TAX COMPLIANCE ACT/ COMMON REPORTING STANDARDS)

To: **ISS Enterprise Limited**

DP- CLIENT ID: \_\_\_\_\_ Broking Code- UCC code: \_\_\_\_\_

PAN: \_\_\_\_\_ Name: \_\_\_\_\_

(a) Is the account holder a Government Body/ International Organisation/listed on any recognised stock exchange. Yes ☐ No ☐  
 (If yes and you are listed please specify the name of the stock exchange, \_\_\_\_\_, If no proceed to point (b)),

(b) Is the account holder (Entity/Financial Institution) tax resident of any country other than India Yes ☐ No ☐  
 (If yes please fill Annexure -A attached),  
 If no proceed to point (c)),

(c) Is the account holder an Indian Financial Institution Yes ☐ No ☐  
 (If yes please provide your GIIN \_\_\_\_\_, if any,  
 If no proceed to point (d)),

(d) Are Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian Citizen. Yes ☐ No ☐

(If yes than please fill Annexure-A attached),  
 If no please sign the declaration).

**Declaration**

(I) Under penalty of perjury, I/We certify that:

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate, the income of which is subject to U.S. Federal Income tax regardless of the source thereof, or (This clause is applicable only if the account holder is identified as a U.S. person)
2. The applicant is taxable as a tax resident under the laws of the country outside India (This clause is applicable only if the account holder is a tax resident outside of India)

(II) I/We understand that **ISS** is relying on this information for the purpose of determining the status of the applicant in compliance with FATCA/CRS. **ISS** is not able to offer any tax advice on FATCA or CRS or its impact on the applicant. I/We should seek advice from professional tax advisor for any tax questions

(III) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect

(IV) I/We agree that as may be required by regulatory authorities, **ISS** may also be required to report reportable details to CBDT or close or suspend my account

(V) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Name of the entity: \_\_\_\_\_

Seal &amp; Signature/s : \_\_\_\_\_

Name of the signatory/ies: \_\_\_\_\_

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

## NRI Declaration

Date : \_\_\_\_\_

From:

To:

**ISS ENTERPRISE LIMITED**

**International Infotech Park, 5<sup>th</sup> Floor,**

**Tower No. 3 & 7, Above Vashi Railway Station,**

**Sector 30 , Vashi, Navi Mumbai -400703**

Dear Sir / Madam,

I/We, have requested you to open the demat account with ISS Enterprise Limited.

I/We have given a following address in the account opening documents which is on the basis of my PO. Box no. My/our complete Address as on date is as follows:

---

In case any changes in my/us above mentioned address I/we will intimate to ISS Enterprise Limited

I/We have complied with, and will continue to comply with, FEMA regulations and other applicable laws.

Thanking You, Yours truly,

Signature



\_\_\_\_\_  
Sole/First Holder



\_\_\_\_\_  
Second Holder



\_\_\_\_\_  
Third Holder

## TRADING ACCOUNT

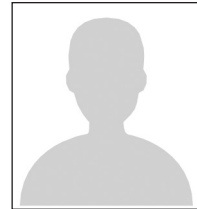
### KNOW YOUR CLIENT (KYC) APPLICATION FORM

#### For Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS											
<b>Name of the Applicant</b>	<i>First Name</i>										
	<i>Middle Name</i>										
	<i>Surname</i>										
<b>Father's / Spouse Name</b>	<i>First Name</i>										
	<i>Middle Name</i>										
	<i>Surname</i>										
<b>Mother's Name</b>											
<b>Gender</b>	<i>Male</i> <input type="checkbox"/>		<i>Female</i> <input type="checkbox"/>		<b>Marital Status</b>		<i>Single</i> <input type="checkbox"/>		<i>Married</i> <input type="checkbox"/>		
<b>Date of Birth</b>	D	D	M	M	Y	Y	Y	Y	<b>Nationality</b>		
<b>Status</b>	<b>Resident Individual</b> <input type="checkbox"/>			<b>Non Resident</b> <input type="checkbox"/>			<b>Foreign National</b> <input type="checkbox"/>				
<b>PAN</b>											
<b>Unique identification Number (UID) / Aadhaar, if any</b>											
<b>Specify the proof of identity submitted</b>											

#### Photo



Please affix your recent passport size photograph and sign across it



#### Details of Guardian (In case the account holder is minor)

Guardian's Name		PAN									
Relationship with the applicant											

#### B. ADDRESS DETAILS

<b>Address for Correspondence</b>											
	<b>City/Town/Village</b>										
	<b>State</b>							<b>Pin Code</b>			
<b>Contact Details</b>	<b>Phone (Off.)</b>							<b>Country</b>			
	<b>Phone (Res.)</b>							<b>Mobile No.:</b>			
	<b>Fax</b>							<b>Email id:</b>			

\*Please note that investor will receive alerts on their E-mail/Mobile, directly from stock exchanges for the transactions generated

<b>Specify the proof of address submitted for correspondence address:</b>								
<b>Permanent Address</b> <i>(If different from above or overseas address, mandatory for Non-Resident Applicant)</i>								
	<b>City/Town/Village</b>					<b>Pin Code</b>		
	<b>State</b>					<b>Country</b>		

<b>Specify the proof of address submitted for permanent address:</b>	
--	--

**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 Applicant**
**Date: \_\_\_\_\_ (dd/mm/yyyy)**
**FOR OFFICE USE ONLY**
☐ (Originals verified) True copies of documents received

☐ (Self-Attested) Self Certified Document copies received

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**Signature of the Authorised Signatory**
**Date: \_\_\_\_\_ (dd/mm/yyyy)**

Seal/Stamp of the intermediary

## INSTRUCTIONS I CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
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 Commercial Banks/Scheduled Co-Operative Bank/ Multinational Banks/Gazetted Officer/Notary public/Elected representatives to the 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
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• 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)</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two 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>• Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>• Copy of the Board Resolution for investment in securities market</li> <li>• Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 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> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>• Certificate of registration (for registered trust only).Copy of Trust deed</li> <li>• List of trustees certified by managing trustees/CA</li> <li>• Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF</li> <li>• Deed of declaration of HUF/list of coparceners</li> <li>• Bank pass-book/bank statement in the name of HUF</li> <li>• Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>• Authorized signatories list with specimen signatures</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 2 financial years</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead</li> <li>• Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies 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 Bye laws certified by the Chairman/Secretary</li> </ul>

**TRADING ACCOUNT RELATED DETAILS****For Individuals & Non-individuals****A. Bank Account Details (in order of preference)**

Details	Bank 1	Bank 2
Bank Name		
Branch Address		
Bank A/c Number		
Account Type (SB/CA/NRE/NRO)	SB <input type="checkbox"/> CA <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/>	SB <input type="checkbox"/> CA <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/>
MICR No.		
IFSC Code (MANDATORY) *		
Default <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

NRI (Applicable for NRI/FN Clients only)

RBI Ref. No. RBI Approval Date  -  - 

\* Please attach copy of permission for dealing in Securities from Authorised Dealer (Bank)/RBI Approval

**B. Depository Account(s) Details**

Details	DP1	DP2
Depository Participant Name		
Depository Name (NSDL/CDSL)		
Beneficiary name		
DP ID		
Beneficiary ID (BO ID)		
Default <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**C. OTHER DETAILS (MANDATORY INCOME AND NETWORTH)**

Gross Annual Income Details (please specify)	<input type="checkbox"/> Below Rs 1 Lacs <input type="checkbox"/> 1-5 lacs <input type="checkbox"/> 5-10 Lacs
Income Range per annum	<input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> Above 25 Lacs

or

Net-worth as on (date)	D	D	M	M	2	0	Y	Y	Amount
------------------------	---	---	---	---	---	---	---	---	--------

Net worth should not be older than 1 year

Occupation (Please tick & give brief details)	Private Sector <input type="checkbox"/>	Public Sector <input type="checkbox"/>	Government Service <input type="checkbox"/>
	Business <input type="checkbox"/>	Professional <input type="checkbox"/>	Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/>
	Housewife <input type="checkbox"/>	Student <input type="checkbox"/>	Others <input type="text"/>
Name of Employer (If Employed)			

<b>Name of Establishment (If self employed/ business/professional/others)</b>							
<b>Office Address</b>							
	<b>City</b>		<b>Pin Code</b>				
	<b>State</b>		<b>Country</b>				
	<b>Fax No.</b>		<b>Telephone No.</b>				
<b>Please tick, if applicable:</b>		Politically Exposed Person (PEP)/ <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/>					
<b>Any other information</b>							

#### D. TRADING PREFERENCES

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

Stock Exchanges & Market Segment on which you wish to trade			
NSE Equity	©	_____	NSE Derivative © _____
NSE Currency	©	_____	BSE Equity © _____
MCX	©	_____	BSE MF © _____

*# 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.*

#### E. 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.	<input type="checkbox"/> Yes <input type="checkbox"/> No  If yes attach annexure giving details.
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#### F. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

If client is dealing through the authorised person, provide the following details:

<b>Authorised person's Name</b>	
<b>AP Registration number</b>	
<b>Registered office address:</b>	

<b>Phone</b>		<b>Fax:</b>	
<b>Website:</b>			
<b>Whether dealing with any othe multiple stock brokers/authorised person (in case dealing with multiple stock brokers/authorised person, provide details of all)</b> <input type="checkbox"/> Yes <input type="checkbox"/> No			
Name of Stock Broker: _____			
Name of Authorised Person if any: _____			
Client Code _____		Exchange _____	
Details of disputes/dues pending from/to such stock broker/Authorised Person _____			

Details of authorised persons to deal in securities on behalf of company firm and others in case of non individuals clients

<b>Name of the authorised person</b>	
<b>Designation</b>	
<b>PAN No.</b>	
<b>UID</b>	
<b>Residential Address</b>	
<b>Signature</b>	X
<b>Any other information</b>	

G. ADDITIONAL DETAILS	
<b>Mode of receiving contract notes</b> (please tick)	<input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic contract note
<b>Specify your email ID if applicable</b>	
<b>Whether you wish to avail Internet Trading</b> (please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No         © _____
<b>Whether you wish to avail Wireless Technology</b> (please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No         © _____
<b>No of years of investment / Trading experience</b>	

**H. NOMINATION DETAILS (for individuals only)**

Please tick ☐ I/We wish to nominate ☐ I/We do not wish to nominate

<b>Name of Nominee</b>	
<b>Relationship with Nominee</b>	
<b>PAN of Nominee</b>	
<b>Date of Birth of Nominee</b>	
<b>Address of Nominee</b>	
<b>Phone No. of the Nominee</b>	

**I. INTRODUCER DETAILS (optional)**

<b>Name of the introducer</b>	(Surname) (Name) (Middle Name)
<b>Address</b>	
<b>Phone No.</b>	<b>PAN No.:</b>
<b>Status I Relationship of introducer with ISS Enterprise Ltd.</b>	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Others <input type="checkbox"/> Existing client Please Specify _____
<b>Signature of the Introducer</b>	X

If Nominee is a minor, details of guardian

<b>Name of guardian:</b>	
<b>Address and phone no. of Guardian</b>	
<b>Signature of the Guardian</b>	X

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

Details	Witness 1	Witness 2
Name		
Signature	X	X
Address		

**ACCOUNT SETTLEMENT (AS PER SEBI REQUIREMENT) ONCE A QUARTER** ☐ **ONCE A MONTH** ☐

**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, if any.

Place \_\_\_\_\_

Signature of Client / (all)

Date \_\_\_\_\_

Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

	<b>Documents verified with Originals</b>	<b>Client Interviewed By</b>	<b>In-Person Verification done by</b>
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), ROD 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 ROD would be made available on my/our website, if any, for the information of the clients.

\_\_\_\_\_  
**Signature of the Authorised Signatory**

**Date:****Seal/Stamp of the stock broker****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

- 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.
- 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/ authorised person'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.

## **RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED PERSONS AND CLIENTS as prescribed by SEBI and Stock Exchanges**

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, authorised person and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The authorised person shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

### **CLIENT INFORMATION**

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and authorised person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

### **MARGINS**

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.
12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

### **TRANSACTIONS AND SETTLEMENTS**

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo motu all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

## **BROKERAGE**

18. The Client shall pay to the stock broker brokerage 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 stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

## **LIQUIDATION AND CLOSE OUT OF POSITION**

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.
21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

## **DISPUTE RESOLUTION**

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-a-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/ stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

## **TERMINATION OF RELATIONSHIP**

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, authorised person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the authorised person or the cancellation of his/its registration with the Board or/ withdrawal of recognition of the authorised person by the stock exchange and/or termination of the agreement with the authorised person by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stockbroker, authorised person and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month

## **ADDITIONAL RIGHTS AND OBLIGATIONS**

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed

by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

### **ELECTRONIC CONTRACT NOTES (ECN)**

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-temperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/regulations/ circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.
41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

### **LAW AND JURISDICTION**

43. In addition to the specific rights set out in this document, the stock broker, authorized person and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued there under or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.

45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/ notices issued there under of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/ notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

**INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT (All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned here in shall also be applicable.)**

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT service to the Client, and the Client shall avail of the Stock broker's IBT service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username password/ account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.



## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/ limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

### **1. BASIC RISKS:**

#### **1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities / derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

#### **1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for Investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

**1.2.1** Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security/derivatives contract.

#### **1.3 Risk of Wider Spreads:**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities/derivatives contracts. This in turn will hamper better price formation.

**1.4 Risk-reducing orders:**

The placing of orders (e.g., “stop loss” orders, or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1** A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

**1.4.2** A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed “away” from the current price of a stock/derivatives contract, and such order gets activated if and when the security/derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security/derivatives contract reaches the pre determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security/derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

**1.5 Risk of News Announcements:**

News announcements that may impact the price of stock/derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security/contract.

**1.6 Risk of Rumors:**

Rumors about companies/currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

**1.7 System Risk:**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security/derivatives contract due to any action on account of unusual trading activity or security/derivatives contract hitting circuit filters or for any other reason.

**1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and execute orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

**2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-****2.1 Effect of “Leverage” or “Gearing”:**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are ‘leveraged’ or ‘geared’. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one’s circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.



B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

## **2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

## **2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

## **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

## **3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

## **4. GENERAL**

**4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities I derivatives contracts through the mechanism provided by the Exchanges.

**4.2** The term 'stock broker' shall mean and include a stock broker, authorised person or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

**GUIDANCE NOTE- DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS****BEFORE YOU BEGIN TO TRADE**

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges [www.nseindia.com/www.bseindia.com](http://www.nseindia.com/www.bseindia.com) [www.mcx-sx.com](http://www.mcx-sx.com) and SEBI website [www.sebi.gov.in](http://www.sebi.gov.in).
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

**TRANSACTIONS AND SETTLEMENTS**

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of authorised person. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
  - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at anytime.
  - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
  - c) on the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

#### **IN CASE OF TERMINATION OF TRADING MEMBERSHIP**

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the “transactions executed on the trading system” of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker’s insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors’ Protection Fund in force from time to time.

#### **DISPUTES/ COMPLAINTS**

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/ authorised person then you may take up the matter with the concerned Stock exchange. If you are satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/authorised persons have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

## POLICIES & PROCEDURE

### a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid ask spreads, small capitalization and limited following and disclosure. Depending on the market condition and RMS policy of the company, the company reserves the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

### b) Setting up client's exposure limits

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin

applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. The payout of securities will be released after considering all liabilities / obligations (including unsettled transactions). Client may sell shares held by him in demat account, for which PoA has been provided to stock broker, without giving margin.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

**c) Applicable brokerage rate:-** Brokerage will be charged within the limits prescribed by SEBI/ Exchange.

**d) Imposition of penalty / delayed payment charges**

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement /schedule at the rate of 1<sup>1/2</sup>% per month.

Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

**e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non payment of client's dues**

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

The client shall ensure timely availability of funds/ securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & borne by the client. In cases of securities lying in margin account/client beneficiary account and having

corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to or received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account.

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit / credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/securities/shares at the pre-defined square off time or when Mark to Market (M T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

**f) Auction Close out Policy**

If the scrip is internally short, then ISS will consider the highest traded price for the said scrip from the trading day to the action day or 20% above the official closing price on the auction day, whichever is higher for internal close out and accordingly, debit and credit the defaulting seller and the buyer respectively. In BSE Segment as per norms ISS ENTERPRISE LIMITED charges 1% penalty on auction rate to the selling client.

**i) Exchange Auction close-out policy for Market Shortages**

**Exchange Shortages:** If Client not able to deliver pay in obligation to the exchange, then it will be considered as Exchange shortage, Accordingly ISS ENTERPRISE LIMITED follows close out procedure as detailed in NSE/BSE Exchanges Auction c l o s e - out policies which is provided vide ISS circular No.19-20/ISS/CNS/7327/NK dated December 11, 2019.

**g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of client**

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

In case of purchase of securities in cash segment and clear funds not received by the broker. We will transfer the shares to Client Unpaid Securities Account (CUSA)" on T+2 or 3 from where it will be compulsorily squared off on T+2+5 day if clear funds are not received clearing the debit of T day. All expenses and losses due to square off will be charged as payable to client ledger. Shares sold on T day will be marked for early pay-in by system at 4:30 P.M. on the same day if the said shares are available in the client beneficiary or CUSA account or client collateral account or our collateral account. So if client wishes to square off on T+1 day he should inform us before 4 P.M. of T day. It will be done on best effort basis only and the broker will not be liable if shares do get marked for early pay-in. Margin will be imposed if shares are NOT marked in early pay-in.

**h) Temporarily suspending or closing a client's account at the client's request**

On the request of the client in writing, the client account can be suspended temporarily and same can be activated on the written request of the client only. During the period client account is suspended, the market transaction in the client account will be prohibited. However client shares/ ledger balance settlement can take place. On the request of the client in writing, the client account can be closed provided the client account is settled. If the client wants to reopen the account in that case client has to again complete the KYC requirement.

**i) Deregistering a client:-** Notwithstanding anything to the contrary stated in the mandatory document, the stock broker shall be entitled to deregister the agreement with immediate effect in any of the following circumstances:

- (i) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.



- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this mandatory document;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;

- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

Inactive Client account:- Client account will be considered as inactive if the client does not trade for a period of 365 days. Calculation will be done on every day and those clients who have not traded even a single time will be considered as inactive. The client has to make written request for reactivation of their account.

Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any break down in our back office/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. I/We shall not claim any loss for such failures.

**Client Acceptance of Policies and Procedures stated hereinabove:**

These Policies and Procedures may be amended I changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods.

I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial/ adjudicating authority including arbitrator/ mediator etc.

**MANDATORY****TARIFF SHEET****Equity Segment (Subject to a ceiling of 2.5% of the turnover)**

	First Leg%	Second Leg%	Minimum Paisa
1. Same day square off	<input type="text"/>	<input type="text"/>	<input type="text"/>
	Buy/Sell Side %	Minimum Paisa	
2. Delivery	<input type="text"/>	<input type="text"/>	

**Futures segment (Subject to a ceiling of 2.5% of the turnover)**

	Buy/Sell side%	
1. Carryover trades	<input type="text"/>	
	First Leg%	Second Leg%
2. Same day square off	<input type="text"/>	<input type="text"/>

**Options segment (Subject to a ceiling of 2.5% of premium or Rs. 100 per lot) whichever is higher**

	Buy/Sell side Rs. Per lot
1. Carryover trades	<input type="text"/>
	Buy/Sell side Rs. Per lot
2. Same day square off	<input type="text"/>

**CURRENCY DERIVATIVES**

Buy/Sell side% per lot	Buy/Sell side Rs. per lot
<input type="text"/>	<input type="text"/>

I hereby authorize the broker ISS Enterprise to debit the pledge creation and closure charges and all other DP charges to my broking account as per Tariff given below:

Type	CDSL	NSDL (as charged by Bank Of India (BOI) to us)*
Pledge	Rs.24 per ISIN	Rs.60 per ISIN
Un-Pledge	Rs.24 per ISIN	Rs.60 per ISIN
Total	Rs.48 per ISIN	Rs.120 per ISIN

Client © \_\_\_\_\_



## NON MANDATORY RIGHTS & OBLIGATION

1. The Client shall ensure that placing an order with the Authorised person, including a market order, does not guarantee execution of the order. The Authorised person has absolute right to reject any order that may be placed by the Client for any reason whatsoever, including breach of the requirement of maintaining the prescribed margin deposit with the authorised person.

2. **CLIENT REGISTRATION:** The Authorised person shall ensure that the Client fills the Client Registration Form complete in all respects along with relevant documents and other related aspects as mentioned in the said Client Registration Form which is annexed to this account opening kit. The Authorised Person shall forward the duly completed Client Registration Form to the Stock Broker along with this Agreement.

3. **ORDER MODIFICATION, CANCELLATION AND TRADE CONFIRMATION:** The Client shall ensure that the orders that are placed on the Authorised person which have to be in writing and put through the automated trading system of Exchange by the Stock Broker/Authorised person as may result into trade upon the matching of the order in the automated trading system of Exchange and upon such matching, the trade confirmation slip or contract note or bill or contract note-cum bill shall be provided to the Client, by hand delivery, fax, post, courier or e-mail on such terms and conditions as may be stipulated in this regard.

In the event the Client desires to modify / cancel an order placed by him / it earlier, the same shall be informed to the Authorised person / Stock Broker in writing, through fax or e-mail to the Authorised person/Stock Broker.

The Client shall ensure that his / its request / instruction for modification / cancellation of an order entered into the automated trading system of the Stock Exchange may be executed on a "best effort basis" by the Authorised Person/Stock Broker and there is no guarantee that the earlier order shall be so modified / cancelled.

The Client shall ensure that it is his / its responsibility to check the trade confirmations, contract notes, bills or statement of accounts immediately upon their receipt. All details contained therein shall be binding upon the Client, if the Client does not object in writing to any of the details immediately. In all cases, the Stock Broker reserves the right to determine the validity of any objection issued by the Client with respect to the transactions reported in the trade confirmations, contract notes, bills or statement of accounts. It is further agreed by the Client that the Stock Broker shall not be responsible for any nonreceipt of trade confirmations, contract notes, bills or statement of accounts, due to any change in the postal address or e-mail address of the Client, which has not been

intimated to the Stock Broker and the Authorised Person.

4. **DIGITALLY SIGNED CONTRACT NOTES:** The Client shall ensure that if he/it so desires, the Stock Broker may provide the digitally signed contract notes, bills, statement of accounts etc. through internet or at the e-mail address of the Client or any other electronic mode.

- i. Should the Client experience any difficulty in opening a document delivered electronically by the Stock Broker, the Stock Broker may make the delivery of the said documents once again by any other electronic means (e-mail, electronic mail attachment or in the form of download) within 48 hours after the first instance of delivery and the same shall serve as an affirmation that the Client was able to receive and open the said document.

- ii. In case the Stock Broker is not able to provide the Contract Notes to its Client through internet due to any unforeseen technical or operational problems, the Stock Broker shall ensure that the contract notes are sent to the client in physical form, as per the time schedule stipulated in Bye-laws, Rules and Regulations of the Stock Broker.

- iii. The Client shall ensure to take necessary steps to ensure confidentiality and secrecy of the login name and password. Unless the Client lodges a complaint with the Stock Broker within 48 hours from the execution of the trades as regards his inability to access his documents it would be presumed that contract notes and all other documents have been properly delivered.

- iv. The Client shall ensure that the Stock Broker fulfills its legal obligation to deliver to the Client any such document if it is sent via electronic mode.

- v. The Client shall ensure that non-receipt of bounced mail notification by the stock Broker shall amount to delivery of contract note at the e-mail ID of the client.

5. **SHORTAGES:** The Client is aware that in case of purchase of securities by him / it, the Stock Broker may at times be unable to deliver the securities to the Client on the pay-out day due to non-receipt of the securities from the Stock Exchange or from other Clients of the Stock Broker who may have sold the said securities. In such a case, the securities shall be delivered to the Client as per the procedures formed by the Stock Broker from time to time.

**"Internal Shortage:** In case of Close out it will be at the highest price prevailing in the exchange from the day of trading till the auction day or 20% above the official closing price on the auction day, whichever is higher."

**6. CLIENT'S AUTHORIZATION:** The Client authorizes the Stock Broker, should the Stock Broker deem it necessary, to buy, sell or close out any part or all of the trades done by the Client in his/its account with the Stock Broker. Any and all losses, financial charges and/or incidental expenses incurred by the Stock Broker or the authorised person acting for or on behalf of the Stock Broker in such purchase, sale or close-out transactions, shall at the discretion of the Stock Broker, be re-imbursed by the Client or charged to or borne by the Client or deducted by the Stock Broker from the monies and/or collaterals/margins of the Client available with the Stock Broker.

**7. MARGINS:** The authorised person shall ensure that the Client pays initial margin up-front on or before creating a position in any specific segment of Exchange and such initial margin payable by the Client to the Stock Broker may be higher than that payable by the Stock Broker to Exchange from time to time. It is further agreed that the Client shall be liable to pay or receive daily margins depending upon whether the price of the trades/transactions moves for or against the position taken by the Client. The authorised person shall ensure that the Client also pays withholding margins, special margins or such other margins as are considered necessary by the Stock-broker or the Stock Exchange from time to time.

The authorised person and the Client shall ensure that the Stock Broker shall be entitled to charge interest at 1.5% per month maximum as per the procedures, the debit balance in the collateral/margin and settlement account of the Client with the Stock Broker. Without prejudice to the foregoing, the Stock Broker shall be entitled to refuse execution of any orders of the Client until such time as the Client has deposited adequate collaterals/margins or funds into the collateral/ margin account or settlement account, as the case may be, to the satisfaction of the Stock Broker. The Client shall ensure that except for the first and exclusive interest created by the Client in favor of the Stock Broker, without the prior written consent of the Stock Broker, it shall not cause and/or allow any collaterals/ margins or funds or securities deposited with the Stock Broker to be or become the subject matter of any lien or pledge or encumbrances of any nature whatsoever with any other person or entity.

The authorized person and the Client shall ensure to confirm that all collaterals/margins or funds or securities owned by the Client singly or jointly and deposited with the Stock Broker for the purpose of securing the dealings obligations of the Client as aforesaid are fully satisfied of the Client shall be subject to a continuing security, lien and set off for the discharge and satisfaction of the obligations or liabilities of the Client to the Stock Broker and /or any other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the Stock Broker. The Stock Broker may hold such collaterals/margins or funds

or securities until the dues and/or obligation and the Client shall remain liable for any deficiency in relation to the Stock Broker that may arise in relation to the Stock Broker after applying the proceeds of such collaterals/margins or funds or securities.

The authorised person and the Client shall authorize the Stock Broker to deposit with any Depository Participant, Clearing House, any custodian or any other such authority authorized for this purpose under the applicable laws, all or part of the collaterals/ margins or funds or securities placed by the Client with the Stock Broker as security for the purpose of operation of this voluntary document, until such time as the Client becomes eligible for delivery or refund, as the case may be, of such collaterals/ margins or funds or securities.

The Stock Broker reserves the right in its sole and absolute discretion to collect additional margins even though not imposed by Exchange and/or SEBI and the Client shall be required to pay such additional margins to the Stock Broker and the authorised person shall ensure that the said additional margins are paid by the Client to the Stock Broker.

**8. TRANSACTIONS AND SETTLEMENTS:** The authorised person and the Client shall ensure to confirm that

- a) unless the Stock Broker otherwise permits, all orders for purchase and/or sale of securities shall result in payment in the case of a purchase transaction and delivery of securities in the case of a sale transaction.
- b) The Stock Broker shall be entitled to offset the purchase value of a purchase transaction against the proceeds of a sale transaction of the Client

**9. OBLIGATION IN THE EVENT OF SHORT DELIVERY**

In the event of the authorised person makes a short sale of any securities on the instructions of the Client and the Client fails to deliver the securities either, fully or in part, to the Stock Broker. The Client and the authorised person jointly and severally shall be responsible for any loss / difference arising out of auctions / close-outs on account of such non-delivery or delay in delivery of securities by the Client that may be sustained by the Stock Broker as a result of such failure of the Client to deliver the securities.

Notwithstanding the aforesaid, the Stock Broker shall be entitled in its discretion to effect a short delivery to the Client for a purchase transaction, inter alia, where the counter-parties, being the seller(s) in the said transaction(s) deliver(s) short to Exchange and Exchange is not able to buy-in the securities falling short on behalf of the defaulting party and therefore closes out the transaction as per the Rules, Bye-laws and Regulations of Exchange

**10. DISCHARGE OF OBLIGATION AND COMPLIANCE BY THE CLIENT:**

The Client shall undertake to

- a. discharge his / its obligations with respect to payment for the business done in a timely manner, so as to enable the Stock Broker to meet its obligations to Exchange, the Clearing House, Clearing Corporation etc.
- b. otherwise be fully responsible for all of its dealings payments and orders.

The Client and the authorised person shall be liable for all such obligations/liabilities as may arise due to non-fulfillment of any obligations / liabilities by the Stock Broker towards Exchange or any other regulatory authority due to the non-compliance by the Client or his / its obligations / liabilities to or through the Stock Broker.

#### 11. RESTRICTIONS AND REGULATION OF DEALINGS:

The Stock Broker shall at its discretion, decide from time to time, the volume of business which, the Client introduced by the authorised person may transact during any trading day or during any period on the Stock Exchange. The Stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings of the Client without any prior notice to the Client or authorised person, inter alia having regard to

- i) volatility in the market;
- ii) impending price sensitive announcements;
- iii) any restrictions in relation to volume of trading / outstanding business or margins stipulated by the Stock Exchange;
- iv) political instability in the country,
- v) presence of any other price sensitive factors;
- vi) failure by the Client to maintain the applicable collaterals / margins; and / or
- vii) delays by the Client in meeting his / its obligations / dues relating to the business / dealings done under this agreement or pursuant to any other agreement between the Client and the Stock Broker.

#### 12. LIQUIDATION / CLOSE OUT OF POSITIONS:

Without prejudice to the Stock Broker's other rights, including the right to refer a matter to arbitration, the Stock Broker shall be entitled to liquidate / close out all or any of the Client's positions without any further intimation or notice to the Client or authorised person for non-payment of margins or other amounts due from the Client to the Stock Broker, Exchange Clearing House, the Clearing Corporation, the Depository Participant handling the securities of the Client, or the authorised person. Any and all losses, financial charges and / or incidental expenses incurred by the Stock Broker on account of such liquidation / close out shall be reimbursed by the Client and/or Authorised Person/charged to and borne by the Client and / or the Authorised person/ deductible by the Stock Broker from the monies and/or collateral margins or funds or securities of the Client or brokerage of the authorised person available with the Stock Broker.

13. In case there is any delay in making funds payable by the Client to the Stock Broker, it shall be the responsibility and obligation of the Authorised Person to make the payments to the Stock Broker on behalf of the Client.
14. In case payment for any settlement is not received by the Stock Broker from the Client within 5 days from the payout date, the Stock Broker shall have full liberty / right and is entitled to sell off the securities purchased against the Client and liquidate any collateral margins deposited by the Client at the cost and risk of the Client and/or the authorised person.
15. In case the shares sold by the Client in any settlement are not received by the authorised person or received beyond the time limit prescribed in the Business Rules framed by the Stock Broker, any losses / differences arising out of auctions / close-outs on account of such non delivery or delay in delivery of securities by the Client to the Stock Broker shall be at the cost and risk and to the account of the Client and / or the Authorised Person.
16. The Client shall ensure that he / it shall be bound by the Rules, Regulations and Bye-laws of the holding company of the Stock Broker.
17. The Client shall ensure that he/it shall not at any time during the validity of the voluntary document act as an agent or unregistered intermediary and that all transactions done by him it shall be only for himself or itself and not for any other person or entity.
18. The Client and the authorised person shall ensure that they shall be liable to pay to the Stock Broker, interest at 1.5% per month maximum as per the procedure framed from time to time by the Stock Broker on any amount outstanding from the Client to the stock Broker.
19. The Client and the authorised person shall ensure to pay to Stock Broker all charges for operation of the DP accounts maintained with ISS DP and for other services rendered by the Stock Broker or any of its agents to the Client and authorized person, as may be intimated by the Stock Broker from the time to time. The client and the sub broker agrees to debit the DP charges to the Trading Account of the client maintained with ISS ENTERPRISE LIMITED
20. **SHARING OF INFORMATION:** The Client shall immediately furnish information to the Stock Broker and the authorised person in writing about any event that is likely to have an adverse effect on the financial position of the Client.

Upon receipt of information from the Client as aforesaid, the Stock Broker shall be entitled to take such action to protect its own interest, including, without limitation, liquidating / closing out all outstanding positions of the Client under limitation to the authorised person. Any and all losses, financial charges and/or incidental expenses incurred by the Stock Broker on account of such liquidation / close out shall be reimbursed by the Client and/or authorised person/ charged to and borne by the Client and/or the authorised person/deductible

by the Stock Broker from the monies and/or collateral margins or securities of the Client or brokerage of the authorised person available with Stock Broker.

Similarly, the Stock Broker shall inform the Client through the authorised person or directly in such mode as may be stipulated in the Business Rules framed by the Stock Broker about the following within a reasonable time:

- i. The trade / transactions and the contracts executed and the associated obligations of the Client.
- ii. The daily settlement position and daily obligations of the client in relation to his/its dealings in the different segments of the stock exchange through the Stock Broker; and
- iii. The account of the client with the stock broker.

**21. EFFECT OF ATTACHMENT:** The stock broker shall not be liable for refusing to obey orders given by or for the client with respect to any account(s) of the client with the stock Broker which has or have been subject to attachment in any legal proceedings or under any applicable law for the time being in force against the client and the stock broker shall not be under any obligation to contest the validity of such attachment or sequestration. Further, the client shall be liable to indemnify the stock broker from and against any losses or expenses suffered and/or incurred by the Stock Broker as a result of such attachment.

**22. SEVERABILITY:** In the event of any provisions of this non-mandatory rights and obligations being held to be invalid, unenforceable or illegal for any reason, such invalidity, unenforceability or illegality shall attach only to such provision or condition and this non-mandatory rights and obligations shall remain otherwise in full force apart from the said provision, which will be deemed deleted. The validity of the remaining provisions and conditions shall not be affected thereby and this rights and obligations shall be carried out as if any such invalid or unenforceable provision or condition was not contained herein. The Stock Broker shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

**23. NO WAIVER:** Any failure and/ or delay on the part of the Stock Broker to insist on strict compliance/exercise with any of the terms, conditions and provisions of this rights and obligations or a continued course of such conduct shall at no time operate as waiver, in full or part, of such terms, conditions, provisions, powers and/or rights. All such powers, remedies and/or rights are cumulative and not exclusive to any other powers, remedies and/ or rights that the Stock Broker may otherwise have.

**24. FORCE MAJEURE:** The Stock Broker shall not be responsible for any losses, costs or damages resulting directly or indirectly from:

- (i) action, omission, suspension of trading decision

or ruling of the Stock Exchange or regulatory, governmental or other body or of any other person which is beyond the Stock Broker's control (including Exchange, Clearing House, Clearing Corporation, etc.) or

- (ii) any war, strike, lock-out natural disaster, act of terrorism, delay in postal services or any other delay or inaccuracy in the transmission of order or other information or any breakdown, failure or malfunctioning of any telecommunication or computer system.
- (iii) The Stock broker is not liable for delayed or non-delivery of funds and securities caused due to Any virus or malware or ransomware crippling the back office or front office systems.

## 25. COMMUNICATIONS AND NOTICES:

- (1) All notices or communications issue under this rights and obligations shall be served in any one or more or all of the following ways under (a) to (l) below and such notices or communications shall be served at the ordinary business address and / or ordinary place of residence and / or last known postal address of the party in anyone or more of the following ways.

(a) by post (b) by registered post (c) under certificate of posting (d) by express delivery post (e) affixing it on the door at the last known business or residential address (f) 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 party is situated (g) by a notice Posted on the notice board of the Stock Exchange if no address be known (h) by electronic mail or fax (i) by hand delivery.

- (2) Any communication / notice posted on the website [www.isesec.com](http://www.isesec.com) shall be deemed to have been properly delivered or served to the authorised person or the Client.
- (3) Any communication sent by the Stock Broker to the Client or the authorised person shall be deemed to have been properly delivered or served, even if such communication is returned to the Stock Broker as unclaimed / refused / undelivered, if the same is sent to the ordinary business address and /or ordinary place of residence and /or last known address of the party, in anyone or more of the ways as mentioned in clause 25 (1) above.

**26. SETTLEMENT OF CLAIMS:** For any illegal acts or unfair trade practices of the Client, if penalty is levied on or any loss be suffered by the Stock Broker, the Stock Broker shall pass on the said penalty or fine or exemplary damages that are levied by Exchange to the Client which shall be paid / adjusted from the balances, if any, of the Client lying with the Stock-Broker.



- 27. AMENDMENT:** The Stock Broker may from time to time amend the this rights and obligations if required, for complying with any change in statute regulation or the requirements of any competent authority or if required under its corporate policies. The same shall be intimated to the Client by the Stock Broker or directly in writing, which shall be part and parcel of this rights and obligations. In case the Client continues to deal with the authorised person subsequent to the implementation of such amendment, it shall be deemed that the Client is agreeable to the new clauses.
- 28. JURISDICTION OF COURTS:** All trades, transactions and contracts are subject to the Rules, Bye-laws and Regulations of the Stock Exchange on which the trades have been executed and the parties to such trade shall be deemed to have submitted themselves to the Jurisdictions of the Forum Constituted as per the provisions of the Rules, Bye-laws and Regulations of the Stock Exchange for settling disputes/ claim/ difference, if any arising out of the trade /transactions.
29. The client, authorised person and the stock broker shall ensure that any dispute / claim / difference arising out of any transaction done or entered in to between them which are not maintainable before the Forum Constituted in such cases, the exclusive jurisdiction of Courts is Mumbai.
- 30. INVESTMENTADVICE:**
- 30.1 The Client shall acknowledge that the Stock Broker is not liable to provide him with any legal, tax investment accounting advice or advice regarding the suitability or profitability of a security or investment.
- 30.2 The Client shall also acknowledge that the Stock Broker's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from the Stock Broker or any of its employees.
- 30.3 The Client shall ensure that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information to the Client, the Client may act upon the same at the sole risk and cost of the Client and the Stock Broker shall not be liable or responsible for the same
- 30.4 The Client assumes full responsibility with respect to his investment decisions and transactions.
- 30.5 The Stock Broker, its officers, its directors, partners, employees, agents and affiliates will have no liability with respect any investment decisions or transactions of the Client.
- 30.6 The Client shall always keep himself abreast of all the requirements to be compiled by him / it under various laws, as may be applicable and the rules, regulations, directions, circulars, notifications or guidelines issued under or pursuant to the relevant laws.
31. Words importing the masculine gender include the feminine gender and vice-versa and neutral gender in the case of companies. corporations, firms, etc.
32. Words and expressions which are used in this rights and obligations, but which are not defined herein, shall unless the context otherwise require have the same meaning as assigned thereto in the Rules, Bye-laws and Regulations of Exchange and the circulars issued thereunder.
33. The client agrees to retain Rs.10,000/- or any amount that regulator allows, while flushing out quarterly payout of funds & securities.
34. Client agrees that all the KYC details may be used for my DP account with ISS ENTERPRISE LIMITED and vice versa.
35. The client understands that the broker is liable to store records only for 5 years and so may not be in a position to provide documents older than 5 years — either in physical neither nor in electronic form.

# ISS ENTERPRISE LIMITED

ANNEXURE-1

## Declaration for Common Mobile Number and EMAIL ID in a Family Account.

To,

**ISS Enterprise Ltd.**Date: 

International Infotech Park, 5th Floor, Tower No. 3 & 7,  
Above Vashi Railway Station, Sector 30, Vashi, Navi Mumbai- 400703.

Dear Sirs,

**Re: Opening of Trading and Demat Account.**

With reference to my /our application for opening of a Trading and Demat account with you, I / We hereby declare that I / We want all the SMS and E-Mail alerts on the following Email ID and Mobile No. which are mentioned below respectively as per SEBI Circular No. CIR/JMIRSD/15/2011 dated August 02, 2011.

Demat Account No. \_\_\_\_\_

☐ Email ID: \_\_\_\_\_☐ Mobile No: 

Further, I / We confirm that the above details which have been provided by us belong to our Family Member (Clients belonging to one family where family would mean self, spouse, dependent children and dependent parents) whose details have been provided by us as under:

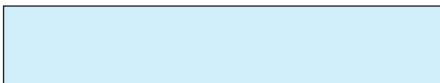
☐ Name of the family Member: \_\_\_\_\_☐ Relationship with the Client: \_\_\_\_\_☐ Trading account with **ISS Enterprise Ltd.** (if Any): \_\_\_\_\_

I / We also confirm that this request has been given to the Stock Broker / Commodity Broker under exceptional circumstances as I / We am / are dependent on our family member whose details have been mentioned in this declaration (above) and I / We further confirm that I / We don't have any objection to this and I / We give full consent in this regard.

Further, 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 I / we are aware that I / We may be held liable for it.

Thanking You,

Yours Faithfully,

Signature of the Client: 

Client Name: \_\_\_\_\_

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

**NOTE: Family members includes self, spouse, dependent children and dependent parents.**

**ANNEXURE-2****To Whom It May Concern:**

We the following member of **(Name of HUF)** do hereby appoint **(Name of Karta)** as a “Karta” of our HUF and authorized him to do all the activities on behalf of HUF & accept that we all will be liable & bind ourselves the activities performed by **(Name of Karta)** as a Karta of HUF.

Sr. no.	Name	Sex	Date of Birth	Relationship with Karta	Signature
1					
2					
3					
4					

(Name of HUF)

(Signature of Karta with HUF seal)

Date:

Place:

**Annexure 3****Declaration to be given by partnership firm on the Letter head of the firm.**

Date:

To,

ISS ENTERPRISE LTD.

International Infotech Park, 5th Floor, Tower No. 3 & 7,

Above Vashi Railway Station, Sector 30,

Vashi, Navi Mumbai- 400703

Dear Sir,

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

We refer to the trading account being opened/opened with you in the name \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a single account/ joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize \_\_\_\_\_ partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with ISS Enterprise Ltd, and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Full Name of the partners	Individual signatures	Signature on behalf of the firm



**Format****Annexure 4**

(Details on this page are meant for Corporate Client Only)

**BOARD RESOLUTION IN CASE OF THE CORPORATE CLIENT (on letterhead of Company)**

Date:

**CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S.** \_\_\_\_\_ **HAVING ITS REGISTERED OFFICE AT** \_\_\_\_\_ **HELD ON** \_\_\_\_\_ **DAY OF** \_\_\_\_\_ **20** \_\_\_\_\_ **“RESOLVED THAT** \_\_\_\_\_ (name of the Company) agree with ISS Enterprise Ltd. /Member I Trading Member of the National Stock Exchange of India Ltd. (NSE) Bombay Stock Exchange Ltd. (BSE) MCX Stock Exchange Ltd. (MCX-SX) etc. for dealing in the Capital Market I Cash Segment, Derivatives I Futures & Options Segment, Currency Derivative Segment or any other segment that may be introduced by BSE INSE I MCX-5X and that ISS ENTERPRISE LIMITED be and is hereby authorized to honor instructions, oral I written on electronic, as the case may be, given on behalf of the company by any one or the under stated authorized signatories:

Sr. No.	Name	Designation
1.		
2.		
3.		

RESOLVED FURTHER THAT the above-referred signatory(ies) is / are authorized to sell, purchase, transfer, endorse, negotiate, deal in equities, derivatives, debentures, debt, IPOs, Mfs, government securities and / or any other investment products or services and / or otherwise deal through ISS ENTERPRISE LIMITED on behalf of the company and the company agree to the terms of ISS ENTERPRISE LIMITED as per the Stock Broker Authorised person – Client Agreement.

RESOLVED FURTHER THAT Mr. / Ms. \_\_\_\_\_, Director and / or Mr. / Ms. \_\_\_\_\_, Director/ Authorized Signatory of the company be and are hereby authorized to sign, execute and submit such applications, undertaking, agreement and other requisite document, writings and as may be deemed necessary or expedient to open account and give effect to this resolution.

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary, in the presence of any of the directors, who shall sign the same in token of the presence.

for \_\_\_\_\_ (name of the Company)

Specimen Signature of the director  
authorized under this Resolution

Specimen Signature of the Director/Authorised  
Signatory authorized under this Resolution

**(ATTESTED TO BE TRUE COPY OF THE BOARD RESOLUTION)**

**ISS ENTERPRISE LIMITED****Format****Annexure 5****SHARE HOLDING PATTERN IN CASE OF CORPORATE (on letterhead of Company)**

Date:

To,

**ISS Enterprise Ltd.**

International Infotech Park, 5th Floor, Tower No. 3 & 7,  
Above Vashi Railway Station, Sector 30,  
Vashi, Navi Mumbai- 400703

Ref.:Client Code- \_\_\_\_\_

Dear Sir,

We hereby certify that the understated directors/Individuals etc., hold 5% or more of the shareholding in our company:

	Name of the person	No. of shares	% of shareholding	Relationship/Designation
1.				
2.				
3.				
4.				
5.				

Thanking you,

Yours faithfully,

**Signature of Chairman / Director Name of Chairman / Director Stamp / Seal of the Company**

.....

**NON-MANDATORY****Annexure 6****RUNNING ACCOUNT AUTHORISATION**

Date.....

**ISS ENTERPRISE LTD.**

International Infotech Park, 5th Floor, Tower No. 3 & 7,  
Above Vashi Railway Station, Sector 30,  
Vashi, Navi Mumbai- 400703

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

1. I/We request you to maintain running balance in my/our 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 of all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to settle my fund and securities account  
☐ Once in financial Quarter ☐ Once in a financial Month. (Tick whichever is preferred) or such other higher period as allowed by SEBI/Stock Exchange time to time, as specified by me/us in your Back office System, except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.

I/We further instruct that for my/our convenience, I/We hereby authorize you to retain an amount of up to Rs.10,000/- during Quarterly/Monthly Settlement of funds and securities as per my preference. I/We understand that in respect of derivatives market transaction, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum up to 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next days.

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

Client Name: \_\_\_\_\_ Signature \_\_\_\_\_

Client Code: \_\_\_\_\_ PAN No. \_\_\_\_\_

Witness (1) Name \_\_\_\_\_ Signature \_\_\_\_\_

(2) Name \_\_\_\_\_ Signature \_\_\_\_\_

**NON-MANDATORY****Annexure 7****LETTER OF AUTHORITY-CASH I F&O/ CURRENCY DERIVATIVES  
SEGMENT OF NSE/BSE**

Client Name : \_\_\_\_\_

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

.....

.....

.....

Date:

Dear Sir,

Sub:Letter of Authority- CASH/F&amp;OI Currency Derivatives Segment of NSE/BSE

I/We are dealing in securities with you at NSE/BSE in cash I Derivative segments and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We authorize you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorize you not to provide me Order Confirmation I Modification I Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paperwork. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorize you to keep all the securities which we give you in margin for meeting margin/other obligations in stock exchanges in whatever manner which may include pledging of shares as permitted from time to time for meeting margin/pay-in obligations on our behalf.
4. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/ future obligations at any or both the Exchanges unless I/We instruct you otherwise.I/We also authorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf. I/We also authorize you to debit the financial charges for the debit balances if any, in my/our account and not settled as per the exchange requirements.
5. I/ We request you to consider my/our telephonic instructions for order placing /order modification/order cancellation as a written instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/ We am /are getting required details from contracts issued by you.
6. I/We request that you may send/dispatch me/us contract notes other documents through E-mail: on my/our designated e-mail address provided to you.
7. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be

© Client Signature: \_\_\_\_\_

beyond the control of ISS ENTERPRISE LIMITED which may result in delay in processing or not processing, buy or sell orders either in part or in full due to which any loss or liability shall not be borne by ISS.

8. I/We confirm that I/we will never sublet the trading terminal or any term of connectivity, from my/our place to any other place without your prior approval.
9. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
10. I/We am/are agreeable for & authorize you to with hold funds pay-out towards all the applicable margins and debits.
11. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered from my account.
12. I/ We have a Trading as well as depository relationship with ISS ENTERPRISE LIMITED. Please debit the charges relevant with depository services from my/our trading account. I/We also agree to maintain the adequate balance in my trading account I pay adequate advance fee for the said reasons.

Your faithfully,

Client Signature: \_\_\_\_\_

## RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/ limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

### **1. BASIC RISKS:**

#### **1.1 Risk of Higher Volatility:**

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities/derivatives contracts than in active securities/derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

#### **1.2 Risk of Lower Liquidity:**

Liquidity refers to the ability of market participants to buy and/or sell securities/derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities/derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities/derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities/derivatives contracts as compared to active securities/derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities/derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities/derivatives contracts may have to be sold/purchased at low/high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security/derivatives contract.

### **1.3 Risk of Wider Spreads:**

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security/derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities/derivatives contracts. This in turn will hamper better price formation.

### **1.4 Risk-reducing orders:**

The placing of orders (e.g., “stop loss” orders, or “limit” orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

**1.4.1 A** “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security/derivatives contract.

**1.4.2 A** “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

**1.4.3** A stop loss order is generally placed “away” from the current price of a stock/derivatives contract, and such order gets activated if and when the security/derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security/derivatives contract reaches the pre-determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security I derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

### **1.5 Risk of News Announcements:**

News announcements that may impact the price of stock/derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security/contract.

### **1.6 Risk of Rumors:**

Rumors about companies/currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

### **1.7 System Risk:**

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

**1.7.1** During periods of volatility, on account of market participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in order execution and its confirmations.

**1.7.2** Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security/derivatives contract due to any action on account of unusual trading activity or security/derivatives contract hitting circuit filters or for any other reason.

### **1.8 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.



## **2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-**

### **2.1 Effect of “Leverage” or “Gearing”:**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are ‘leveraged’ or ‘geared’. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk. You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one’s circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index/derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

### **2.2 Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor’s advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

### **2.3 Risk of Option holders:**

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

### **2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

### **3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:**

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

### **4. GENERAL**

**4.1** The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities/derivatives contracts through the mechanism provided by the Exchanges.

**4.2** The term 'stock broker' shall mean and include a stock broker, authorised person or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI

**INTENTIONALLY BLANK**

**THIS DEMAT DEBIT PLEDGE INSTRUCTION (DDPI) IS VOLUNTARY AND PART AND PARCEL OF THE CLIENT REGISTRATION DOCUMENT EXECUTED BETWEEN .....**

**ADDRESS:**

.....  
.....

**AND  
ISS ENTERPRISE LTD. HAVING ITS REGISTERED OFFICE  
AT INTERNATIONAL INFOTECH PARK, TOWER 3 & 7, 5<sup>TH</sup> FLOOR,  
SECTOR 30, VASHI, NAVI MUMBAI - 400 703 (Branch Off: No: 223, 1<sup>st</sup> floor,  
Vijay Enclave, TV Sami Road (East), R.S.Puram, Coimbatore - 641002) ON  
THIS \_\_\_\_\_ DAY OF 202 \_\_\_\_\_**

**1<sup>st</sup> Holder Name:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

**2<sup>nd</sup> Holder Name:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

**3<sup>rd</sup> Holder Name:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

**INTENTIONALLY BLANK**

**ISS ENTERPRISE LIMITED**

**Regd Office International Infotech Park, Tower 3 & 7, 5<sup>th</sup> Floor,  
Vashi Railway Station Complex, Navi Mumbai- 400703 Phone:  
(022) 61829500 email: support@iseindia.com**

**VOLUNTARY DOCUMENT**

**Execution of Demat Debit and Pledge Instruction (DDPI) for transfer of securities towards deliveries /  
settlement obligations and pledging/re-pledging of securities**

1st Holder Name: \_\_\_\_\_

DATE: \_\_\_\_\_

2nd Holder Name: \_\_\_\_\_

3rd Holder Name: \_\_\_\_\_

CDSLDPID

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

BO ID

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

CLIENT CODE

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

Dear Sir/Madam,

I/We executing the Demat Debit and Pledge instruction in favor of ISS ENTERPRISE LIMITED, authorizing them to operated aforesaid beneficiary account for the below mentioned specific purpose .

**Annexure - A**

Sr. No	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	1 <sup>ST</sup> Holder _____ 2 <sup>ND</sup> Holder _____ 3 <sup>RD</sup> Holder _____
2.	Pledging / re-pledging of securities in favor of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	1 <sup>st</sup> Holder _____ 2 <sup>ND</sup> Holder _____ 3 <sup>RD</sup> Holder _____
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1 <sup>st</sup> Holder _____ 2 <sup>ND</sup> Holder _____ 3 <sup>RD</sup> Holder _____
4.	Tendering shares in open offers through Stock Exchange platforms	1 <sup>st</sup> Holder _____ 2 <sup>ND</sup> Holder _____ 3 <sup>RD</sup> Holder _____
* Any other type of transactions that SEBI and/or CDSL may allow in future.		

**I/We accept (For ISS Enterprise Limited)**

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--

**Note:**

1. If the account jointly held by the account holder, all the account holders should sign this form and submit for activation. (2) All the boxes, client is required to be signed. (3) The same may be e-Signed or signed physically. (4) This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no SEBI/HO/MIRSD/DOP/P/CIR/2022/44 dated 04-04-22 2022.)

**INTENTIONALLY BLANK**





### **ISS ENTERPRISE LIMITED**

Annexure A- List of Demat Account					
Transfer/Pledge the Securities to ISS Enterprise Demat account(s) using the Demat Debit and Pledge Instruction (DDPI)					
No	DP Name	Type of Account	DP ID	Client ID	Account Holder name
1	ISS Enterprise Ltd	CDSL_ NSE Pool Account	13023400	0000020	ISS Enterprise Ltd
2	ISS Enterprise Ltd	CDSL_ BSE Principle Account	13023400	00031832	ISS Enterprise Ltd
3	ISS Enterprise Ltd	CDSL_ BSE Principle Account	13023400	00031847	ISS Enterprise Ltd
4	ISS Enterprise Ltd	CDSL_ TM/CM Client Margin Pledge Account (CMPA)	13023400	00581481	ISS Enterprise Ltd
5	ISS Enterprise Ltd	CDSL_ Client Unpaid Securities Account( CUSA)	13023400	00571591	ISS Enterprise Ltd
6	Bank Of India	NSDL_ NSE Pool Account	IN001019	10010251	ISS Enterprise Ltd
7	Bank Of India	NSDL_ BSE Pool Account	IN001019	10010243	ISS Enterprise Ltd
8	Bank Of India	NSDL_ TM/CM Client Margin Pledge Account (CMPA)	IN001019	10011955	ISS Enterprise Ltd
9	Bank Of India	NSDL_ Client Unpaid Securities Account( CUSA)	IN001019	10011457	ISS Enterprise Ltd
10	NSE Clearing Limited	NSE Early Pay-in Account	11000011	00016020	ISS Enterprise Ltd
11	India Clearing Corporation Limited	BSE Early Pay-in Account	11000010	00018357	ISS Enterprise Ltd

1<sup>st</sup> Holder Name: \_\_\_\_\_ Signature : \_\_\_\_\_

2<sup>nd</sup> Holder Name: \_\_\_\_\_ Signature: \_\_\_\_\_

3<sup>rd</sup> Holder Name: \_\_\_\_\_ Signature: \_\_\_\_\_

**INTENTIONALLY BLANK**

To,

Client DP ID :- \_\_\_\_\_

Client Trade Code :- \_\_\_\_\_

Client Name:- \_\_\_\_\_

This is to inform you that, we have received your CRD Form for registration in NSE / BSE / MCX.

List of documents which we have received with the CRD Form duly verified and also details of your account are given below:-

CRD No.:- \_\_\_\_\_

• E-mail Id:- \_\_\_\_\_

• Client Code:- \_\_\_\_\_

• Identity Proof:- Voter Id/ Passport/ Ration Card/ PAN Card/ MAPIN/ Driving License

Bank Proof:- Bank Statement of last quarter/ Bank Pass Book/ Cheque leaf with name printed

• Address Proof:- Bank Statement of last quarter / Bank Pass Book / Ration Card / Passport / Voter Id / Adhar Id  
Driving License / Electricity Bill - issued in last 2 months / Phone Bill - issued in last 2 months / Rent Agreement /

DP Proof:- DP Proof issued in last quarter Client Master/ Client should be 1st Holder.

We assure that your above client code will be activated within 48 hours provided it is complete in all respect.

**For ISS ENTERPRISE LIMITED**

**Compliance Officer Name : M. V. Swaminath**

**Phone no : 022-61829523**

**Email id : swaminathmv@iseindia.com**

**Name of the Authorized Person  
CRD Dept.**

### **ACKNOWLEDGMENT**

I/We acknowledge receipt of all the documents executed by me including the following

- (1) Account opening form
- (2) Rights and obligations
- (3) Risk Disclosure Document (RDD)
- (4) Guidance note
- (5) Policies & Procedures followed by the stock broker.
- (6) Tariff sheet
- (7) Non Mandatory rights and obligations and all other documents executed by the client & we have personally handed over to you all documents required by you during our meeting on \_\_\_\_\_
- (8) Risk Management System for cash/F&O/Currency Segment.
- (9) Delivery Instruction Slip (DIS) Booklet ☐ Y ☐ N

**Name of the Client:-** \_\_\_\_\_

**Client DP ID:-** \_\_\_\_\_

**Client Trade Code:-** \_\_\_\_\_

**Signature of the client:-** \_\_\_\_\_

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Cover page 3



# ISS ENTERPRISE LIMITED

**Registered Office:** International Infotech Park, Tower 7, 5th Floor,  
Sector 30 A, Vashi, Navi Mumbai - 400 703.  
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