



# ISS Enterprise Limited

SEBI REGISTRATION NUMBER : INZ000157633

EXCHANGE	MEMBERSHIP CODE	SEGMENTS REGISTERED
NSE	10777	. EQUITIES . FUTURES AND OPTIONS . CURRENCY DERIVATIVE
BSE	918	. EQUITIES

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

DP ID: 13023400

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Website: <http://www.isesec.com>

CIN:U67100MH2000PLC123707

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For any grievance/dispute please contact stock broker ISS ENTERPRISE LIMITED (Erstwhile; ISE Securities & Services Ltd.) at the above address or email at [ig@iseindia.com](mailto:ig@iseindia.com) or call on (022) - 07028294555 extn:523 . 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.

List of documents for Individual Demat & trading Account				
Sl. No.	PARTICULARS	Page No. Part A	Submitted YES/NO/N.A	Remarks
1	Account opening form duly filled and signed in the respective fields			
2	One Passport size colour photograph duly signed across			
3	PAN card copy			
4	Address proof (UID-Aadhaar mandatory) / For NRI both Indian & Foreign			
5	Cancelled Cheque Leaf with name printed			
6	Bank passbook with recent statement - not more than 2 months old (only if name is not printed in the above cancelled cheque leaf)			
7	FATCA declaration duly filled and signed			
List of additional documents for NRI Client				
8	Passport copy including customs stamp for departure & arrival into INDIA			
9	RBI permission letter (PIS letter from bank)			
10	If NRI applicant is out of India, Copies of all the document submitted by the applicant should be verified by the local Indian embassy or a local banker prior to handing over the same to the NRI service centers			
11	Additional Document for NRI Client - FEMA Declaration			
List of additional documents for Trading Account				
12	Agreement duly signed and witnessed - Only for POA clients			
13	IT Returns / Recent six month's bank statement copy / Networth certificate by CA / Latest Demat account holding statement is mandatory for F & O segment			

Note : **SELF ATTESTATION** is mandatory for all the documents submitted by the applicant  
**ORIGINAL DOCUMENTS** must be submitted along with the application for verification  
**IN-PERSON** verification is mandatory

**Annexure -1**

**ACCOUNT OPENING KIT**

**INDEX OF DOCUMENTS**

<b>S.No.</b>	<b>Name of the Document</b>	<b>Brief Significance of the Document</b>	<b>Mandatory / Optional</b>	<b>Page No.</b>
1	CKYC & KRA	Document to capture data for registering the client with CKYC and KRA with instructions	Mandatory	1 - 4
2	"Demat and Trading Account Opening Form"	Document Captures basic information about the constituent	Mandatory	5 - 6
3	Nomination	This needs to be filled for DP showing if you (client) have opted out of Nominating someone or if you have , then details of the nominee as decided by client	Mandatory	7 - 9
4	Tariff sheet - Demat	"Document informing the charges levied related to demat account"	Mandatory	10
5	"Terms and Conditions -cum- Registration Form- Demat"	"Terms And Conditions-cum-Registration Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits ]"	Mandatory	11 - 12
6	Rights and Obligations - Demat	"Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories"	Mandatory	13 - 14
7	Trading Related Info	Extra info required for opening a trading account - Exchange & Segment chosen by client	Mandatory	15 - 16
8	Tariff sheet - Trading	Documents detailing the rate/amount of brokerage	Mandatory	17
9	Rights and Obligations - Trading	Document stating the Rights & Obligations of stock broker/ trading member , sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading)	Mandatory	18- 21
10	"Risk Disclosure Document (RDD)"	Document detailing risks associated with dealing in the securities market.	Mandatory	22 - 25
11	"Guidance note - DOs & DONTs for investors"	"Document detailing do's and don'ts for trading on exchange, for the education of the investors."	Mandatory	26 - 27
12	Policies and Procedures	Document describing significant policies and procedures of the stock broker	Mandatory	28 - 30
13	"Mobile & Email Confirmation, Client defaulter &PMLA Policy Declaration."	"Required to receive SMS alerts on the Mobile phone and all communication to email, Client defaulter declaration and Prevention of Money Laundering Act Policy Declaration."	Mandatory	31
14	Power of Attorney (POA)	Document authorizing stock broker to debit your demat account for the purpose of payin to exchange	Voluntary	32 - 34
15	FEMA Declaration Form	FEMA Declaration Form by NRI client	Voluntary	35
16	Letter of Authority -Running account	Required for maintaining clients account on a running account basis, Frequency of Settlement of client accounts and for other Authorisations.	Voluntary	36
17	FATCA & ECN Declaration	Foreign Account Tax Compliance Act (FATCA) DECLARATION plus opting to receive contract notes over email	Voluntary	37
18	Declaration of Name Mis-match	Declaration of Name Mis-match in Bank, PAN card , Aadhar card etc	Voluntary	38
19	Client Acknowledgment	Client Acknowledgment of having received i) Rights & Obligations ii) Risk Disclosure Document iii) Policies and Procedure iv) Do's and Dont's	Voluntary	39

# 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 checked="" type="checkbox"/> Name* (Same as ID proof)	_____	_____	_____
Maiden Name (If any*)	_____	_____	_____
Father / Spouse Name*	_____	_____	_____
Mother Name*	_____	_____	_____
Date of Birth*	_____	_____	_____
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="checkbox"/> <input type="checkbox"/> )	
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<b>Date &amp; Time</b>
	<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"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business <input type="checkbox"/> Forex Dealer <input type="checkbox"/> X- Not Categorized		
		<b>LONGITUDE</b>	Signature / Thumb Impression
		<b>LATITUDE</b>	

## ☐ 2. FATCA / CRS Declaration (Tick if Applicable) ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\* \_\_\_\_\_

Tax Identification Number or equivalent (If issued by jurisdiction)\* \_\_\_\_\_

TIN Issued Country \_\_\_\_\_

Place / City of Birth\* \_\_\_\_\_ ISO 3166 Country Code of Birth\* \_\_\_\_\_ US Person ☐ Yes ☐ No

## ☒ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

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

## 4. PROOF OF ADDRESS (PoA)\*

### ☒ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of anyone 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="checkbox"/> Simplified Measures Account - Document Type code	_____			

## Address

Line 1\* \_\_\_\_\_  
 Line 2 \_\_\_\_\_  
 Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_  
 District\* \_\_\_\_\_ Pin / Post Code\* \_\_\_\_\_ State / U.T Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

☒ **4.2 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\* \_\_\_\_\_

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

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

District\* \_\_\_\_\_ Pin / Post Code\* \_\_\_\_\_ State / U.T Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

☐ **4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\*** (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details ☐ Same as Correspondence / Local Address details

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

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

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

State\* \_\_\_\_\_ ZIP / Post Code\* \_\_\_\_\_ ISO 3166 Country Code\* \_\_\_\_\_

☒ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel.(Off) (std) \_\_\_\_\_ Tel.(Res)(std) \_\_\_\_\_ Mobile \_\_\_\_\_

FAX \_\_\_\_\_ Email ID \_\_\_\_\_

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1' ) (please refer instruction G at the end)

☐ Addition of Related Person ☐ Deletion of Related Person KYC Number of Related Person (if available\*) \_\_\_\_\_

Related Person Type\* ☐ Guardian Of Minor ☐ Assignee ☐ Authorized Representative

Prefix First Name Middle Name Last Name

Name\* \_\_\_\_\_

(If KYC number and name are provided, below details of section 6 are optional)

**PROOF OF IDENTITY [PoI] OF RELATED PERSON\*** (Please see instruction (H) at the end)

☐ A- Passport Number \_\_\_\_\_ Passport Expiry Date \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date \_\_\_\_\_

☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ Z- Others (any document notified by the central government) \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ S- Simplified Measures Account - Document Type code \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ **7. REMARKS (If any)**

**8. APPLICANT DECLARATION**

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

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.


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

Signature / Thumb Impression of Applicant

**9. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received ☒ Certified Copies

KYC VERIFICATION CARRIED OUT BY	
Employee Name	
Organization	
Branch ID	
Designation	
Date	
Signature	

INSTITUTION DETAILS	
Name	ISS Enterprise Limited
Code	
	
Institution Stamp	

## CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

**General Instructions:**

- Fields marked with '\*' are mandatory fields.
- Tick ☒ wherever applicable.
- Self-Certification of documents is mandatory.
- Please fill the form in English and in BLOCK Letters.
- Please fill all dates in DD-MM-YYYY format.
- Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- KYC number of applicant is mandatory for updation of KYC details.
- For particular section update, please tick ☒ in the box available before the section number and strike off the sections not required to be updated.
- In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling 'Personal Details' section**

- 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.
- 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**

- 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/services code/number, and resident registration number)

**C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section**

- If driving licence number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

**D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**

- 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.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

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 licence 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**

- 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.
- In case of multiple correspondence / local addresses, Please fill **'Annexure A1'**

**F Clarification / Guidelines on filling 'Contact details' section**

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

**G Clarification / Guidelines on filling 'Related Person details' section**

- Provide KYC number of related person if available.

**H Clarification / Guidelines on filling 'Related Person details — Proof of Identity [Pol] of Related Person' section**

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

### 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
Aland 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		





**Corporate Office :** Dakshna Building 601, 6th floor, Next to Raigad Bhavan, Sector- 11, CBD Belapur, Navi Mumbai-400614

**Registered Office :** International Infotech Park, Tower 7, 5th Floor, Vashi Railway Station Complex, Vashi, Navi Mumbai -400703.

(To be filled by the Depository Participant)

DP Internal Reference No.		Date	
DP ID	13023400	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 the 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 checked="" type="checkbox"/> Individual	<input checked="" 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 (Incise the account holder is a 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')	<input type="checkbox"/> 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 Tariff card & Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	<input type="checkbox"/> Physical / <input type="checkbox"/> Electronic
---	---

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)
--	---

I/We wish to receive dividend / interest directly in to my 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
--	--

"I/We authorize ISS Enterprise Limited to debit DP Charges (including Annual Maintenance Charges) to my/our trading account	<input type="checkbox"/> Yes <input type="checkbox"/> No
---	--

Signatures			
	Sole / First Holder	Second Holder	Third Holder

**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	
Bank Branch name& address	

(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>	<b>Income Range per annum:</b>
Gross Annual Income Details	<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) (DD/MM/YYYY) Rs
	(Net worth should not be older than 1 year)
Occupation	<input type="checkbox"/> Private <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 (Specify) : _____
Please tick, if applicable :	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP) <input type="checkbox"/> None
Any other information :	

<b>SMS Alert Facility</b>	Mobile No. +91 _____										
Refer to Terms & Conditions given as <b>Annexure - 2.4</b>	[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)										
Transactions Using Secured Texting Facility <b>(TRUST)</b> , Refer to Terms & Conditions <b>Annexure - 2.6</b>	I wish to avail the TRUST facility Using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member Ids under my/our below mentioned BO ID registered for TRUST										
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)							
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
Easi	To register for easi, please visit CDSL's website : <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the Portfolio online										

Signatures



Sole / First Holder

Second Holder

Third Holder



## Nomination Form

<b>ISS Enterprise Limited</b> <b>Corporate Office :</b> Dakshna Building 601, 6th floor, Next to Raigad Bhavan, Sector-11, CBD Belapur, Navi Mumbai-400614  <b>Registered Office :</b> International Infotech Park, Tower 7, 5th Floor, Vashi Railway Station Complex, Vashi, Navi Mumbai -400703.	<b>FORM FOR NOMINATION</b>  <i>(To be filled in by individual applying singly or jointly)</i>
---	---

Date		UCC		DP ID	13023400	Client ID	
------	--	-----	--	-------	----------	-----------	--

☐ I/We wish to make a nomination. [As per details given below]

### NOMINATION DETAILS

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Nomination can be made upto three nominees in the account			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)				
2.	Share of each Nominee	Equally [If not equally, please specify percentage]	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3.	Relationship with the Applicant (if any)				
4.	Address of Nominee(s)  City / Place: State & Country:				
	PIN Code				
5.	Mobile/Telephone No. of Nominee(s)				
6.	Email ID of nominee(s)				
7.	Nominee Identification details [Please tick any one of following and provide details of same]				
	<input type="checkbox"/> Photograph & Signature				
	<input type="checkbox"/> PAN				
	<input type="checkbox"/> Aadhaar				
	<input type="checkbox"/> Saving Bank A/c No.				
	<input type="checkbox"/> Proof of Identity				
	<input type="checkbox"/> Demat Account ID				

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)  City / Place: State & Country:			
	PIN Code			

11	Mobile / Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details –[Please tick any one of following and provide details of same]			
	<input type="checkbox"/> Photograph & Signature			
	<input type="checkbox"/> PAN			
	<input type="checkbox"/> Aadhaar			
	<input type="checkbox"/> Saving Bank A/c No.			
	<input type="checkbox"/> Proof of Identity			
	<input type="checkbox"/> Demat Account ID			
		Name(s) of Holder(s)		Signature(s) of Holder
	Sole/First Holder (Mr./Ms.)			
	Second Holder (Mr./Ms.)			
	Third Holder (Mr./Ms.)			

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

**Note:**

This nomination shall supersede any prior nomination made by the account holder(s), if any.

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

## Declaration Form for opting out of nomination

To	Date	
ISS Enterprise Limited  <b>Corporate Office :</b> Dakshna Building 601, 6th floor, Next to Raigad Bhavan, Sector- 11, CBD Belapur, Navi Mumbai-400614  <b>Registered Office :</b> International Infotech Park, Tower 7, 5th Floor, Vashi Railway Station Complex, Vashi, Navi Mumbai -400703.		
UCC		DP ID    13023400
Client ID (only for Demat account)		
Sole/First Holder Name		
Second Holder Name		
Third Holder Name		
I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / 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 trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.		
<b>Name and Signature of Holder(s)*</b>		
1. _____ 2. _____ 3. _____		
* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature		

**ISS Enterprise Limited**

Corporate Office : Dakshna Building 601, 6th floor, Next to Raigad Bhavan, Sector- 11, CBD Belapur, Navi Mumbai-400614

linvestor grievance e-mail : ig@iseindia.com

DATE

BOID

**ISS - TARIFF**

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 • Individual Account • Corporate/Trust/LLP Account	Rs. 300/- Rs.1000/-	AMC Based on holding value: • Up to Rs. 50000/- ----- NIL • Between Rs.50001-200000-- 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 DRF + Courier Charges of Rs. 30/-	Rs.20/- Per DRF + Courier Charges of Rs. 30/-
Rematerialization Redemption	Rs.15/- Per Every 100 Shares or part thereof Or Rs.15/- Per Certificate Whichever is higher Rs.15/-	Rs.15/- Per Every 100 Shares or part thereof Or Rs.15/- Per Certificate Whichever is higher Rs.15/-
Transaction (Debit)	Rs.15/-	Rs. 40/-
Transaction (Credit)	Nil	Nil
Failed Transaction	Nil	Nil
Pledge Creation/Confirmation /Closure /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.
- Goods & Services Tax (GST) 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.

1st Holder

2nd Holder

3rd Holder

## **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 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its essor 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 & 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 account holders 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 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 period.
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, e-mail 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 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 the obligation 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 change 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/ 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 purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.**

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

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

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

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

BOID

13023400

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name :

Second Holders Name :

Third Holder's Name :

Mobile Number on which message 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 :

E-mail 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:

## **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.

### **Statement of account**

- 13 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.
- 14 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.
- 15 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.
- 16 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.



Signature Sole / 1st holder



Signature 2nd holder



Signature 3rd holder



### **Manner of Closure of Demat account**

- 17 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.
- 18 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**

- 19 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.
- 20 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**

- 21 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**

- 22 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.
- 23 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**

- 24 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**

- 25 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**

- 26 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.
- 27 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.
- 28 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.
- 29 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
- 30 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.
- 31 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.



Signature Sole / 1st holder



Signature 2nd holder



Signature 3rd holder





**OTHER DETAILS****A. BANK ACCOUNT DETAILS**

Bank Name	Branch Name & Address	Type of A/c	Bank A/c No.	MICR Code.	IFSC Code	Bank Verified Name

**B. Type Of Trading A/c :** ☐ Online ☐ Offline ☐ Both

**C. TRADING PREFERENCES**

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

Exchange	Segment		
	Cash	FO	Currency
BSE			
NSE			

**D. DEPOSITORY ACCOUNT(S) DETAILS**

DP Name		
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name		
DP ID		
BO ID		

**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:

**F. Dealing Through Sub-Brokers and Other Stock Brokers**

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

Sub-broker's Name : \_\_\_\_\_ SEBI Registration number : \_\_\_\_\_

Registered Office address: \_\_\_\_\_

Ph. No. \_\_\_\_\_ Fax No. \_\_\_\_\_ Website:www. \_\_\_\_\_

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

Name of Stock broker	Name of Sub-broker, if any	Client Code	Exchange

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

#### G. Additional Details

**SMS and E-mail alerts to investors by stock exchanges :** ☐ YES ☐ NO

Type of Facility ☐ SMS Alert ☐ E-mail Alert ☐ Both

**Whether you wish to receive** ☐ Physical contract note ☐ Electronic Contract Note(ECN)

E-mail (If Applicable) : \_\_\_\_\_

**Whether you wish to avail of the facility of internet trading / wireless technology :** ☐ Yes ☐ No

#### Trading Experience / Number of Years of Investment

☐ No Prior Investment Experience ☐ Years in Equities ☐ Years in Derivatives ☐ Years in other Investment related fields

Educational Details : ☐ High School ☐ Graduate ☐ Post -Graduate ☐ Doctorate ☐ Professional Degree

☐ Under High School ☐ Illiterate ☐ Other \_\_\_\_\_

#### H. Introducer Details (Optional)

Name of Introducer: \_\_\_\_\_

Address of the Introducer: \_\_\_\_\_

Sub Broker Reg No : \_\_\_\_\_

UCC Code : \_\_\_\_\_

PAN No : \_\_\_\_\_

Employee Code : \_\_\_\_\_

Status of the Introducer: ☐ Sub Broker ☐ Remisier ☐ Authorized Person ☐ Existing Client

☐ Others, Please Specify \_\_\_\_\_

Phone No.: \_\_\_\_\_

Signature of Introducer: \_\_\_\_\_

#### 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.

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

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

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

## 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			

	Buy/Sell Side %	Minimum Paisa
2. Delivery		

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

	Buy/Sell side%
1. Carryover trades	

	First Leg %	Second Leg %
2. Same day square off		

### 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	

	Buy/Sell side Rs. Per lot
2. Same day square off	

### **Currency derivatives**

Buy/Sell side Rs. Per lot	Buy/Sell side Rs. Per lot

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.60 per ISIN

Client Signature



**ANNEXURE - 4****RIGHTS AND OBLIGATIONS OF STOCK BROKERS, AUTHORISED 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, sub-broker 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 sub-broker 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 sub-broker 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 moto 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, sub-broker and the client shall be entitled to terminate the relationship between them without giving iiiii 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 sub-broker or the cancellation of his/its registration with the Board or/ withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker 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 stock broker, sub-broker 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-tamperable 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-tamperable.
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, sub-broker 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 thereunder 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 thereunder 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 herein 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 IBTSystem, 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 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, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

# GUIDANCE NOTE

## 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 website [www.nseindia.com](http://www.nseindia.com), [www.bseindia.com](http://www.bseindia.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 sub-broker. 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 any time.

- 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 give 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/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers 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 a unit 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 pay in/margin obligation on time as per the exchange requirement /schedule at the rate of 1 1/2% per month.

Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as 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 broker's 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 client's 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 client's 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 are 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 same only on the realization of the funds from the said bank instrument etc, at 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 (Erstwhile; ISE Securities & Services the Ltd.) 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 (Erstwhile: ISE Securities & Services Ltd.) follows close out procedure as detailed In NSE/BSE Exchanges Auction close-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 a 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.

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.

In case of purchase of securities in cash segment and clear funds not received by the broker. We will transfer the shares to 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 :-**

Not with standing 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;

(ii) 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.

#### **j)Client Responsibility:**

- i)The client agrees 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.
- ii) The client assumes full responsibility with respect to his investment decisions and transactions.
- iii)The stock broker, its officers, its directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the client.
- iv)The client shall always keep himself abreast of all the requirements to be complied 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.
- v)The client before placing a trade should independently verify whether a particular ISIN is active, whether there is an additional margin or lock in of the scrip or funds payout. The stock broker or its employees will not be responsible for any information given in good faith.

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

These Policies and Procedures may be amended / 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 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.

## VOLUNTARY REQUIREMENT

To  
**ISS Enterprise Limited**

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

Dakshna Building 601, 6th floor, Next to Raigad Bhavan, Sector- 11, CBD Belapur, Navi Mumbai-400614

### CONFIRMATION OF MOBILE NUMBER / E-MAIL Ids

With reference to my trading account with you under Client Code \_\_\_\_\_ kindly note  
that my e-mail id is \_\_\_\_\_ and mobile number is \_\_\_\_\_  
and the same e-mail ID and mobile number is also attached to client code, \_\_\_\_\_, who is/are  
related to me.

Please send all the ECNs, statements and any other communication from ISSEL / BSE / NSE to this e-mail id / mobile number, for  
which I do not have any objection.

Yours faithfully,



Signature

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

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

### CLIENT DEFAULTER DECLARATION

I, \_\_\_\_\_ having PAN no. \_\_\_\_\_ Date : \_\_\_\_\_  
do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not  
appearing in defaulter database as per SEBI / Various Exchanges / Regulatory Information Bureau of India Ltd.) etc. bodies /  
CIBIL ( Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/statement is true and correct.



**(Signature of Client)**

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

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

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorised person etc.]

### PMLA POLICY DECLARATION

I/We \_\_\_\_\_ having the trading code no. \_\_\_\_\_ with ISSEL

confirm and declare that I/We had read and understood the contents and the provisions of the PMLA Act, 2002 and it was also  
explained by ISSEL official. I/We further declare that I/We shall adhere to the rules and regulations and requirements mentioned in  
the PMLA Act, 2002. I/We aware that the said PMLA policy is available in your website www.issel.com.

Yours faithfully,



Signature

Name of the Client \_\_\_\_\_

☐ By ticking this box you express your consent for processing your personal information for undertaking of online KYC to  
establishing account based relationship with ISS Enterprise Limited.

**POWER OF ATTORNEY**  
**(To be executed on Rs. 500/- Stamp Paper)**

This Power of attorney is executed on this \_\_\_\_\_ day of 202\_\_\_\_ between:

I/We \_\_\_\_\_ (hereinafter referred to as Client/s S/O

Residing at \_\_\_\_\_

\_\_\_\_\_ of the one part,

OR

I / We \_\_\_\_\_ a partnership firm duly registered under the

under the provisions of the Indian Partnership Act, 1932 and having its place of business at \_\_\_\_\_

OR

We \_\_\_\_\_ a company incorporated under the Companies Act, 1956 and

having its place of business at \_\_\_\_\_

AND

ISS Enterprise Ltd a Company duly incorporated under the Companies Act, 1956 and having its Registered Office at International Infotech Park, Tower 7th, 5th Floor, Sector-30, Vashi, Navi Mumbai -400 703, Corporate office at Dakshna building, 6th floor, near raigad bhavan, sector - 11, CBD-Belapur, Navi Mumbai Maharashtra - 400 614 of the Other Part, RECITALS (hereinafter referred to as "ISS" which expression shall include unless it be repugnant to the subject or context thereof , its Successors, assigns, executors and administrators, for the time being of the said company) do hereby solemnly and sincerely affirm on oath, agree and abide as follows:

WHEREAS ISS is providing various securities related services which inter alia includes but not limited to transactions in connection with purchase or sale of securities, scrip's, stocks etc. ISS is a member of Bombay Stock Exchange- and also a member of National Stock Exchange of India Limited bearing SEBI registration no INZO000157633 in Equities ,Equity derivative and Currency derivative Segments, .ISS is also a Depository Participant of Central Depository Services (India) Ltd.("CDSL") bearing SEBI registration no. IN-DP-CDSL- 392-2018.

WHEREAS I/We hold a Beneficiary account NO. 13023400 (BO-ID) with Central Depository Services (India) Ltd. ("CDSL") through

ISS Enterprise Ltd (Erstwhile: ISE Securities & Services Ltd.) ("Depository Participant"), bearing bearing DP-ID 13023400

NOW THESE PRESENTS WITNESSES THAT due to exigency and paucity of time I/We do hereby jointly and severally nominate, constitute and appoint ISS acting through their respective Director(s), employees or such other person as may be authorized by them by way of Resolution, whether passed in a meeting of the Board of Directors or any Committee formed by the Board, for the aforesaid and various other purposes, as my/our true and lawful attorney to do, execute and perform severally the following acts, deeds, matters and things:

1. To instruct the Depository Participant to debit securities and/or to transfer securities from the aforementioned Beneficiary Account with ISS Enterprise Ltd for the purpose of delivering the same to the Clearing House of the recognized Stock Exchange towards any segment in respect of the securities sold by me/us through them.

2. ISS will use the POA only for initiation of margin pledge creation and closure . The same will be authenticated by me to the depositories by submitting the OTP received from the said depositories.

3. To re-pledge such securities to the clearing member / clearing corporation as the case may be

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

4. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to the instructions of me / us).
5. To apply for redemption of mutual funds as per my/our instructions .
6. To do all such other acts or deeds which ISS in its sole discretion considers necessary in this connection in order to complete my/our transaction(s).
7. ISS as well as the undersigned shall return the securities or fund that may have been received by it erroneously or those securities that it was not entitled to receive.
8. ISS shall send consolidated summary of my /our scrip -wise buy and sell positions by way of SMS /email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
9. That The present Power of Attorney shall be revocable and continue until I/we have given to ISS communication in writing, to the contrary. However, such revocation shall not affect my / our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued in pursuance to this Power of Attorney have been settled.
10. I/We understand that when I/We authorize CDSL / NSDL the pledge initiation by me or by ISS or by my DP (other than ISS) I/We am/are agreeing to the DP charges being levied.
11. I/We understand that ISS may not be able to perform one or more activities of the POA if there are changes in the rules by the regulator or if ISS feels it is bad in changed law and will not hold ISS responsible for the same.
12. I/We understand that ISS is only facilitating my obligations to the exchange and is not taking up the responsibility for the same.
13. The below are list of trading member's demat accounts where funds & securities are moved:-

S.No.	Bank / DP Name	Bank / Demat A/c	Type of A/c	DP-Id	Bank/ Bo-Id No.	Present in POA on 21-Apr-2021
1	HDFC BANK	Bank	Client A/c	N.A.	00600140000031	Y
2	HDFC BANK	Bank	Client A/c-NSE CD Segment	N.A.	00600340047968	Y
3	HDFC BANK	Bank	Settlement A/c-BSE Cash Segment	N.A.	00990620003125	Y
4	HDFC BANK	Bank	Settlement A/c-NSE FO Segment	N.A.	00990630000770	Y
5	HDFC BANK	Bank	Own A/c-BSE Trading Deposit	N.A.	00600340014656	Y
6	HDFC BANK	Bank	Settlement A/c-NSE Cash Segment	N.A.	00990610004332	Y
7	HDFC BANK	Bank	Exchange Dues A/c	N.A.	00990650003913	Y
8	HDFC BANK	Bank	Client A/c-Dividend	N.A.	00600340014673	Y
9	HDFC BANK	Bank	Client A/c	N.A.	00600340078661	Y
10	HDFC BANK	Bank	Settlement A/c-NSE CD Segment	N.A.	00600340047958	Y
11	HDFC BANK	Bank	Own A/c-NSE Trading Deposit	N.A.	00600340012054	Y
12	HDFC BANK	Bank	Client A/c- NSE F&O Segment	N.A.	00600340005918	Y
13	HDFC BANK	Bank	Client A/c	N.A.	00990670007582	N
14	HDFC BANK	Bank	Client A/c	N.A.	00990670007980	N
15	HDFC BANK	Bank	Client A/c	N.A.	00990670009594	N
16	HDFC BANK	Bank	Client A/c	N.A.	00990670014323	N
17	HDFC BANK	Bank	Client A/c	N.A.	00990670008213	N
18	HDFC BANK	Bank	Client A/c	N.A.	00990670008384	N
19	HDFC BANK	Bank	Client A/c	N.A.	00990670008515	N
20	HDFC BANK	Bank	Client A/c	N.A.	00990670010731	N
21	HDFC BANK	Bank	Client A/c	N.A.	00990670009327	N
22	HDFC BANK	Bank	Client A/c	N.A.	00990670010429	N
23	HDFC BANK	Bank	Client A/c	N.A.	00990670009742	N
24	HDFC BANK	Bank	Client A/c	N.A.	00990670012797	N
25	HDFC BANK	Bank	Client A/c	N.A.	00990670009759	N
26	HDFC BANK	Bank	Client A/c	N.A.	00990670016733	N
27	HDFC BANK	Bank	Client A/c	N.A.	00990670009093	N
28	HDFC BANK	Bank	Client A/c	N.A.	57500000261322	N
29	HDFC BANK	Bank	Client A/c	N.A.	57500000431562	N
30	HDFC BANK	Bank	Client A/c	N.A.	00600340014663	N
31	ICICI Bank Account	Bank	Client A/c- Cash Segment	N.A.	000405009586	Y
32	ICICI Bank Account	Bank	Client A/c- F&O Segment	N.A.	000405009587	Y

S.No.	Bank / DP Name	Bank / Demat A/c	Type of A/c	DP-Id	Bank/ Bo-Id No.	Present in POA on 21-Apr-2021
33	ICICI Bank Account	Bank	Own A/c-NSE Trading Deposit	N.A	000405016023	Y
34	ICICI Bank Account	Bank	Own A/c-BSE Trading Deposit	N.A	000405024456	Y
35	CITI Bank	Bank	Client A/c	N.A.	340720008	Y
36	SBI	Bank	Client A/c	N.A.	35344383866	Y
37	South Indian Bank	Bank	Client A/c	N.A.	0409073000000583	Y

1	ISS Enterprise Ltd	Demat	CDSL_NSE Pool Account	13023400	00000020	Y
2	ISS Enterprise Ltd	Demat	CDSL_Bse Principal Account	13023400	00031832	Y
3	ISS Enterprise Ltd	Demat	CDSL_Bse Principal Account	13023400	00031847	Y
4	ISS Enterprise Ltd	Demat	CDSL_Client Unpaid Securities	13023400	00571591	Y
5	ISS Enterprise Ltd	Demat	CDSL TM/CM CMPA Client Margin Pledge Account	13023400	00581481	Y
6	ICCL	Demat	CDSL_BSE Early Payin Account	11000010	00018357	Y
7	NSCCL	Demat	CDSL_NSE Early Payin Account	11000011	00016020	Y
8	Bank Of India	Demat	NSDL_NSE Pool Account	IN001019	10010251	Y
9	Bank Of India	Demat	NSDL_BSE Pool Account	IN001019	10010243	Y

14. I/We do hereby for myself, my heirs, executors and administrators do hereby agree to ratify, confirm and validate all and whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these presents.

15. I/We confirm that our partner or the Board of Director of our company, as applicable, have passed a resolution approving this Specific Power of Attorney and have authorized us to sign and execute this Specific Power of Attorney, a copy of which resolution duly attested is enclosed herewith. (This shall be applicable to all Authorised Person (AP) / Client(s) who are partnership firms / corporate).

16. I/We agree to indemnify and keep indemnified and hold harmless, ISS Enterprise Ltd from any and all reasonable costs, liabilities and expenses resulting directly or indirectly from all lawful actions in accordance with properly issued instructions where required.

SIGNED AND DELIVERED on \_\_\_\_\_ this day of \_\_\_\_\_ 202 \_\_\_\_\_

Signature of the Authorised Person (AP) / client: \_\_\_\_\_

DP Holder-1 Name: \_\_\_\_\_ Signature: \_\_\_\_\_

DP Holder-2 Name: \_\_\_\_\_ Signature: \_\_\_\_\_

In Presence of: \_\_\_\_\_

Witness-1 Signature: \_\_\_\_\_

Witness-1 Name: \_\_\_\_\_ Witness-1 Signature: \_\_\_\_\_

Address: \_\_\_\_\_

Witness-2 Signature: \_\_\_\_\_

Witness-2 Name: \_\_\_\_\_ Witness-2 Signature: \_\_\_\_\_

Address: \_\_\_\_\_

We Accept

For ISS Enterprise Ltd (Erstwhile: ISE Securities Services Ltd.)

(Authorised Signatory / Directors)

Address: DAKSHNA BUILDING, 6TH FLOOR, NEAR RAIGAD BHAVAN,  
SECTOR - 11, CBD-BELAPUR, NAVI MUMBAI

MAHARASHTRA – 400 614

Place : NAVI MUMBAI

Date :

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



### FEMA DECLARATION FORM

Dear Sir / Madam,

With reference to my / our application for opening of a Demat / Trading account with you, I/We hereby confirm that I am a / We are are non-resident Indian(s) / foreign national(s) Individual(s). I/We also confirm that I/We have complied with **FEMA (erstwhile FERA)** Regulations and I/We would continue to comply with **FEMA (erstwhile FERA)** regulations.



**Signatures**

**Sole / First Holder**

**Second Holder \***

**Third Holder \***

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

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

(\* To be signed if second and/or third holder(s) is/are NRI(s) or FN(s). Not to be signed if second and/or third holder(s) is/are resident Indian(s))

From

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

To,

**ISS Enterprise Limited**

International Infotech Park, Tower 7, 5th Floor, Vashi Railway Station Complex, Vashi, Navi Mumbai -400703.

Dear sir/Madam,

#### **Sub : Self Declaration of foreign address**

Above mentioned address is my present address. If there is any changes in the above address, I will inform you in writing immediately.



**Signatures**

**Sole / First Holder**

**Second Holder \***

**Third Holder \***

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

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

(\* To be signed if second and/or third holder(s) is/are NRI(s) or FN(s). Not to be signed if second and/or third holder(s) is/are resident Indian(s))

## RUNNING ACCOUNT AUTHORISATION

To

**ISS Enterprise Limited**

Dakshna Building 601, 6th floor, Next to Raigad Bhavan, Sector- 11, CBD Belapur, Navi Mumbai-400614

Dear Sir,

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

☐ Quarterly ☐ Monthly

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 `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 somade 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



## FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) DECLARATION

Client Code :

DP ID 13023400

CLIENT ID

Place / City of Birth : ISO Country Code of Birth : IN

Is your Country of Tax Residency other than India ☐ Yes ☐ No ( Please tick at appropriate place )

If 'Yes', Please specify the details of all countries where you hold tax residency and its Tax Identification Number & type

S No.	Country of Tax Residency	Tax Payer Identification Number /Functional Equivalent	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

# to include all countries other than India, where investor is Citizen / Resident / Green card Holder / Tax Resident in those respective countries especially of USA

**Declaration :** I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the

above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I hereby authorize you [ISS Enterprise Limited] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Regulators, their employees ('the Authorized parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit - India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same.

Further, I authorize you to share the given information to other SEBI Registered Intermediaries/or any other regulate intermediaries registered with SEBI / RBI / IRDA/ PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators / tax authorities. I/We authorize ISS Enterprise Limited to provide relevant information to the above regulators and to enable withholding any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

Signature :



Name of the Client :

Date : Place :

### ELECTRONIC CONTRACT NOTE ( E C N ) – DECLARATION

(Voluntary)

To

ISS Enterprise Limited

Dakshna Building 601, 6th floor,Next to Raigad Bhavan,Sector- 11, CBD Belapur, Navi Mumbai-400614

Dear Sir,

I, \_\_\_\_\_ a client with ISS Enterprise Limited, Member of BSE, NSE undertake as follows :

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

Note: The following sentence have to be handwritten by the client :

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

Signature



**DECLARATION, INDEMNITY CUM UNDERTAKING FOR DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF**

To,  
 ISS Enterprise Limited  
 Dakshna Building 601, 6th floor, Next to Raigad Bhavan, Sector- 11, CBD Belapur, Navi Mumbai-400614

I \_\_\_\_\_ s/o, w/o, d/o \_\_\_\_\_  
 \_\_\_\_\_ refer to my Trading Account  
 \_\_\_\_\_ with ISS Enterprise Limited do hereby affirm, declare and undertake that

I/We do hereby solemnly affirm and declare as under :

1. That my name as it appear on my trading account is \_\_\_\_\_
2. That my name as it appears on my demat account is \_\_\_\_\_
3. That my name as it appears on the Income Tax website is \_\_\_\_\_
4. That my name as it appears on the Address proof is \_\_\_\_\_
5. That my name as it appears on my Pan Card is \_\_\_\_\_
6. That my name as it appears on the Bank Proof is \_\_\_\_\_
7. That above mentioned names, on Trading account, Demat account, Tax website, Address proof, PAN Card No. \_\_\_\_\_  
 and Bank account bearing no. \_\_\_\_\_ are mine alone.
8. That I hereby request ISSEL to maintain my name in Demat and Trading account as per the name appearing on the website/Pan Card
9. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax within 45 days from the date of signing this undertaking. ISSEL may, at its sole discretion, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
10. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website week from the date of signing this undertaking.
11. I further undertake that in case my name has been changed after approval from government authorities and notification gazette. I shall get the name change effected in PAN, Bank account etc. and furnish immediately to ISSEL.
12. That I further declare that I am responsible and I shall indemnify & keep indemnified ISSEL, its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cumundertaking and/or acting on this basis

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me in vernacular and I have understood before signing it. That this declaration, Indemnity-cum-undertaking given by me to ISS is by my absolute free will and coercion, undue influence, pressure etc., and at present I am having sound health and mind.

(Client Signature)  \_\_\_\_\_

(Client Name) \_\_\_\_\_

**ACKNOWLEDGEMENT (for office record)**

I/We hereby acknowledge to have received from ISS Enterprise Limited, (the Broker) an account opening book, for my/our record, containing –

1. Rights and Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges including Terms and Conditions as to Internet & Wireless Technology Based Trading Facility Provided by Stock Brokers to Client.
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for investors.
4. Policies and Procedures.

I/We have fully understood each one of the above and filled the forms as per instructions contained therein. All of my/our queries have been satisfactorily clarified.

I/We will be provided photo/scan copies of account opening documents signed by me/us after scrutiny and acceptance by the Broker's office.

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

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

1. Client Categorization Under PMLA ☐ LOW RISK ☐ MEDIUM RISK ☐ HIGH RISK

UCC Code allotted to the Client

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee Autho. Person/ Sub Broker			
Employee Code Autho. Person/ Sub Broker			
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 nonmandatory documents.

I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the Policy and Procedures', tariff sheet and all the onmandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and bligations' and RDD would be made available on my/our website, if any, for the information of the clients.

**For ISS Enterprise Limited**



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

Seal / Stamp of stock broker

Director/ Authorised Signatory

## 2. KRA REGISTRATION DETAILS

If Client is already registered with KRA, please fill in below details :

☐ NDML ☐ CVL (Please tick any one)

(Please furnished photocopy of KRA Registration letter)

KRA Registration No.: \_\_\_\_\_

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