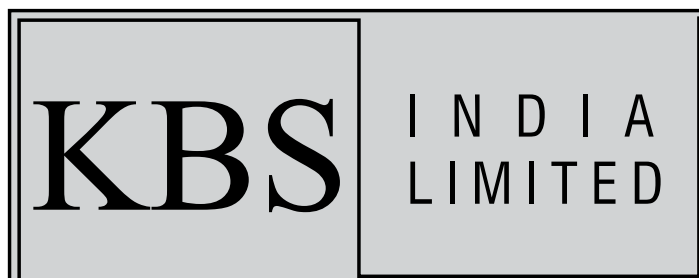


Client Registration Form



KBS INDIA LIMITED

**Member of National Stock Exchange of India Ltd (NSE),
Bombay Stock Exchange Ltd (BSE)**

MEMBER CODE: NSE: 09135 / BSE: 0392

SEBI REGN NO.: INZ000253131

CDSL DP ID : IN-DP-713-2022

Demat A/c No. 12096500 A/c Opening Date: _____

DDPI Date: _____

CKYC No.: _____ KRA Status: _____

UCC Code (NSE / BSE): _____

Back-Office Client Code: _____

Client Name: _____

PAN No. _____ Date of Birth _____

Email ID: _____

Mobile No.: _____

DETAILS OF THE TRADING MEMBER

Name of Stock Broker / Trading Member/ Clearing Member	KBS India Limited	
SEBI Registration No. and date	BSE	INZ000253131 Dt. April 9, 2019
	NSE	
	CDSL DP - 12096500	IN-DP-713-2022 Dt. Sept 22, 2022
Member Code	BSE	0392
	NSE	09135
Registered office address	Address	502, Commerce House, 140 Nagindas Master Road, Fort, Mumbai 400 001.
	Phone	022 - 6996 6996
	Website	www.kbs.co.in
Correspondence/Corporate/OPS office address	Address	106/108, Jai Hind Building, Nagindas Master Road, Dalal Street, Fort, Mumbai 400 001.
	Phone	022 - 6996 6996
Details of Compliance officer	Name	Mr. Nehal Shah
	Phone No.	022 - 6996 6996
	Email	nehal.shah @ kbs.co.in
Details of COO	Name	Mr. Tushar Shah
	Phone No.	022 - 6996 6996
	Email	tushar.shah@kbs.co.in

In case of any grievance/ complaint against KBS India Limited :

- Please contact Compliance Officer of Stock Broker Operations Mr. Nehal Shah on email-id: nehal.shah@kbs.co.in and Phone No.: **91-22-6996 6996**.
- You may also approach CEO, Mr. Tushar Shah on email id: grievance@kbs.co.in and Phone No. **91-22-6996 6996**.
- If not satisfied with the response of the Stock Broker/Depository Participant. you may contact the concerned Stock Exchange/ Depository at the following:

Regulator	Web Address	Contact No.	Web Address
BSE	www.bseindia.com	022-2272 8097	is@bseindia.com
NSE	www.nseindia.com	1800220058	ignse@nse.co.in

Regulator	Web Address	Contact No.	Web Address
CDSL	www.cdslindia.com	1800-200-5533	complaints@cdslindia.com

- You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.
- You may also lodge your Compliant / Grievance with scores directly. Kindly refer below process for filling Complaint / Grievance with scores.

Filing of complaints on SCORES - Easy & quick Scores Link - <https://scores.goviniscres/Welcome.html>

- a. Register on SCORES portal
- b. Mandatory details for filing complaints on SCORES:
 - i. Name, PAN, Address, Mobile Number, Email ID
- c. Benefits:
 - i. Effective communication
 - ii. Speedy redressal of the grievances"

PROPRIETARY TRADING DISCLOSURE :

We KBS India Limited hereby inform all our clients that besides trading on behalf of our Clients, we also do Proprietary Trading in our own accounts.

A. IMPORTANT POINTS:

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

B. Proof of Identity (P01): - List of documents admissible as Proof of Identity:

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

C. Proof of Address (POA): - List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook — Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FI I/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

DETAILS OF THE TRADING MEMBER

4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

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

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ sub-broker's office.
 - In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
- Form need to be initialized by all the authorized signatories.
 - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

Instructions to the Applicants (BOs) for account opening:

- Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate/ Special Executive Officer under his/her official seal.
- Signatures should be preferably in black ink.
- Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the first/ sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.

INDEX

Sr. No.	Name of the Document	Brief Significance of the Document	Pg. No.
MANDATORY FORM AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist (To be filled by customer), Trading preference, Brokerage and other details.	1-17
		B. Document captures the additional information for Trading and Demat Account along with Terms and Conditions receiving SMS alert form CDSL.	18-28
	FATCA - CRS declaration	C. The information to be provided in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962	29-30
2.	Tariff Sheet	Document detailing the demat fee schedule & rate/amount of brokerage charges levied on the client for trading on the stock exchange(s).	31
VOLUNTARY FORM AS PROVIDED BY THE STOCK BROKER			
3.	Application for SMS alert for all DP Transactions	Application by client to receive the SMS alerts for various transactions in exchanges and DP account.	32
4.	Option Form For Issue of DIS Booklet	Option provided to Client for issue of DIS Booklet	33
5.	Declaration	Receipt & read of Rights & Obligation, Guidance Note, RDD, Policies & Procedure & PMLA	34
6.	Consent to receive the Contract Note trade confirmations and DP transaction cum holding statement by e-mail (ECN)	A mandatory by the client to receive Contract Notes, trade confirmations and DP transaction cum holding statement in electronic form instead of physical form.	35
7.	Authority to retain securities and funds	An authority given by the client to member to hold his securities and funds payout beyond statutory time limit for operational convenience.	36
8.	Letter For Authorised Signatories All Exchanges	Letter for authorised signatories of non-individual client for communication with the members.	37
9.	DDPI	Demat Debit and Pledge Instruction	
MANDATORY DOCUMENT AS PRESCRIBED BY SEBI & EXCHANGES			
10.	Most Important Terms & Conditions (MITC)	Most Important Terms & Conditions (MITC) For non-custodial settled trading Accounts	37
11.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/ trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading)	38-41
12.	Risk Disclosure Document (RDD)	Document detailing Risks associated with dealing in the securities market.	42-44
13.	Policies & Procedures	Various policies and procedures applied by the Member/ Depository Participant.	45-47
14.	Rights and Obligations of Beneficial Owner and Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories	48-49
15.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	50-51
16.	Information on prevention of money laundering act 2002, (PMLA)	Brief note on PMLA for Client Information	52

Note:

Booklet 1 to be filled by client and returned to KBSIL. Booklet 2 to be read, understood and retained by the client for future reference.

Kindly note that these additional clause(s)/ documentation(s) are voluntary and to facilitate any of the stock broker/ trading member and the client. The client need not executed this document if he/she does not wish to. The client has the right to terminate the document.

The stock broker hereby discloses that it does client based business and proprietary trades as well.

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INSTRUCTIONS/GUIDELINES FOR FILLING NON-INDIVIDUAL KYC APPLICATION FORM

A. General Instructions:

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per below list mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent addresses are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/ Passport of Minor/Birth Certificate must be provided.
11. Politically exposed persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country e.g., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

B. Proof of Identity (POI):

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA):

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in

India

3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. Proof of address in name of spouse may be accepted.
6. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
7. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

D. Exemptions/Clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCIs, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.






F. Online Mode Processing of KYC:

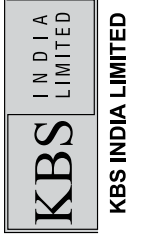
1. ONLINE KYC
 - Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
 - The documents should be digitally signed using DSC.
 - Intermediary attestation on documents (OSV) is exempted.

Type of Entity	Additional Documents Required over and above PAN, POI and POA
Corporate	• Copy of Balance Sheet for the last to financial years (to be submitted every year).
	• Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary/ whole time director/ MD (to be submitter every year).
	• Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations.
	• Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly.
	• Copy of Memorandum and Articles of Association and Certificate of Incorporation.
	• Copy of Board Resolution for Investment in security markets.
	• Authorized signatories list with specimen signatures.
	• Shareholding pattern.
Partnership Firm	• Copy of Balance Sheet for the last to financial years (to be submitted every year).
	• Certificate of Registration (for registered partnership firms only).
	• Copy of Partnership Deed.
	• Authorized signatories list with specimen signatures.
	• Photograph, POI, POA, PAN of Partners.
	• Shareholding pattern.
Trust	• Copy of Balance Sheet for the last to financial years (to be submitted every year).
	• Certificate of Registration (for registered Trusts only).
	• Copy of Trust Deed.
	• List of Trustees certified by Managing Trustees/ CA
	• Photograph, POI, POA, PAN of Trutees.
HUF	• PAN of HUF.
	• Deed of Declaration of HUF or List of Co-Parceners.
	• Bank Passbook / Bank statement in the name of HUF.
	• Photograph, POI, POA, PAN of KARTA.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years
	• Authorized signatories list with specimen signatures.
Unincorporated Association or Body of Individuals	• Proof of existence or Constitution document.
	• Resolution of Managing Body and power od Attorney granted to transact business on its behalf.
Army/Government Bodies	• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years.
	• Authorized signatories list with specimen signatures.
Army/Government Bodies	• Self certification on letterhead.
	• Authorized signatories list with specimen signatures.
Registered Society	• Copy of Registration Certificate under Society Registration Act.
	• List of managing committee members.
	• Committee Resolution for persons authorized to act as authorised signatories with specimen signatures.
	• True copy of society rules and by-laws certified by Chairman/Secretary.
FPI Category I	• FPI Certificate
	• Constitution Documents
	• Copy of Board Resolution (optional)
	• Shareholding pattern and Ultimate Beneficiary Owners List (UBO)
	• Authorized signatories list with specimen signatures.
FPI Category II	• FPI Certificate
	• Constitution Documents
	• Copy of Board Resolution
	• Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity
	• Authorized signatories list with specimen signatures.

DETAILS OF DIRECTORS / PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

Name of Applicant _____ PAN of the Applicant : (_____)

Sr. No.	PAN	NAME	DIN (for Directors) / Aadhaar Number (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	PHOTOGRAPH
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	Please affix the recent passport size photograph and sign across it with stamp 



Date : DD - MM - YYYY

Name & Signature of the Authorised Signatory(ies) with Stamp

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		<input type="text"/>
Account Type*	Normal	Simplified (for low risk customers)	Small

(Mandatory for KYC update request)

1. PERSONAL DETAILS (Please refer instruction A at the end)

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

PHOTO

Signature / Thumb Impression

2. 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)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (POI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity [PoI] needs to be submitted)

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

4. PROOF OF ADDRESS (POA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please refer instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

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

Address

Line 1*

Line 1*

Line 1*

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 1 *

Line 1 * 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 1 *

Line 1 * City / Town / Village*

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

5. CONTACT DETAILS

- Tel. (Res) - 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*)	Guardian of Minor	
Related Person Type*	Assignee	Authorize Representative		
Name*	Prefix <input type="text"/>	First Name <input type="text"/>	Middle Name <input type="text"/>	Last Name <input type="text"/>
(If KYC number and name are provided, below details of section 6 are optional) Tel. (Off)				

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

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



Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

I Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name

Code




TRADING ACCOUNT RELATED DETAILS
DEPOSITORY ACCOUNT(S) DETAILS

Particulars	(1)	(2)	(3)
DP Name	KBS India Limited		
DP Address	502, Commerce House, 140 Nagindas		
	Master Road, Fort, Mumbai 400 001.		
DP ID	1	2	0 9 6 5 0 0
Client ID			
2nd holder's Name			
3rd holder's Name			
Default A/c (Any One)	Yes	No	Yes No Yes No

- 1) Client name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form with sole holder or first holder as the case may be.
- 2) DP statement should clearly show DP ID & Client ID.
- 3) In case NRI's proof of Demat Account should be only with NRI status.

TRADING PREFERENCE

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

Exchange	NSE & BSE		
All Segments	Cash	F&O	Currency
			N.A.

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

BROKERAGE DETAILS

Brokerage Scheme

Cash

Currency

F&O

	Trading		Delivery		F & O Derivatives			Currency Derivatives		
	%	Min.	%	Min.	%	Min.	Per Lot	%	Min.	Per Lot
1st Leg								NA	NA	NA
2nd Leg								NA	NA	NA

All Statutory Charges to be levied on the turnover are s follows :

Account opening charges ₹ Nil

Transaction charges: At Actuals

Stamp Duty: At Actuals

GST: At Actuals

Security Transaction Tax: At Actuals

SEBI Turnover Tax: At Actuals

Clearing charges: At Actuals

OTHER LEVIES AS PREVALENT FROM TIME TO TIME:

If the client does not make a pay-in on T+1 basis or if any outstanding debit balance in the account, delayed payment charges @ 18 % p.a. will be levied on the client.

Broking / DP Account Documentation Charges - as per DP Tariff

Cheque return charges at actuals

GST REGISTRATION (As applicable, State wise)

	SGST	CGST	IGST
State Registration No.			
Validity Date	D D - M M - Y Y Y Y	D D - M M - Y Y Y Y	D D - M M - Y Y Y Y
Name of the State			

ADDITIONAL DETAILS

Facilities For Trading	Whether you wish to avail the facility of <input type="checkbox"/> E-Broking <input type="checkbox"/> Wireless technology (Mobile Trading)
Contract Note	Whether you wish to receive <input type="checkbox"/> Electronic Contract Note (ECN) <input type="checkbox"/> Physical Contract Note
Whether you wish to receive Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading); Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories; Uniform Risk Disclosure Documents (for all segments/exchanges); and Guidance Note detailing Do's and Don'ts for trading on stock exchanges (please specify): PHYSICAL OR ELECTRONIC _____ (Mention email id)	
Educational Qualification	<input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professional
Investment/Trading Experience	<input type="checkbox"/> Years in Stocks <input type="checkbox"/> Years in Derivatives <input type="checkbox"/> Years in Commodities <input type="checkbox"/> No Prior Experience
Primary purpose of dealing	In Equities: <input type="checkbox"/> Intra day <input type="checkbox"/> Positional Investment In Derivatives: <input type="checkbox"/> Trading <input type="checkbox"/> Hedging
Stock Portfolio	NIL <input type="checkbox"/> <5 Lacs <input type="checkbox"/> 5-20 Lacs <input type="checkbox"/> 20-50 Lacs <input type="checkbox"/> >50 Lacs
Any other information	<div style="border: 1px solid black; height: 20px;"></div>

PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority/regulatory against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years, whether in terms of criminal or civil proceedings by any enforcement agency worldwide : YES NO

INFORMATION IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Funds Detail	Do you intend to invest in the stock market with : <input type="checkbox"/> Own Funds <input type="checkbox"/> Borrowed Funds
Name Relationship	Details of the relatives, having account with KBS INDIA LIMITED _____ UCC _____
Name Relationship Nature of Business	Details of the corporate/partnership firm/trust, etc where client is affiliated _____ UCC _____ Entity Type _____

DEALING THROUGH OTHER STOCK BROKERS

If you are dealing with any other stock broker/ Sub broker / Authorised Person, provide the following details: (in case dealing with multiple stock broker/ Sub broker / Authorised Person, provide details of all)

Name of Stock broker	<input type="text"/>	Client Code	<input type="text"/>
Name of Sub broker/	<input type="text"/>	Exchange	<input type="text"/>
Authorised Person	Details of disputes/dues pending from/to such stock broker / Sub broker / Authorised Person		

DEALING THROUGH REGISTERED SUB BROKER /AUTHORISED PERSON

If you are dealing through KBS INDIA LIMITED Sub-broker /Authorised Person, provide the following details:

Name			BSE SEBI Regn. No.
Regd. Off. Address			NSE SEBI Regn. No.
Signature (Sub-broker/AP)	Tel. No		Remisier /AP
	Fax No.		Remisier / AP
	Website		Remisier /AP

COMMON DETAILS FOR TRADING AND DEMAT

OTHER DETAILS

Gross Annual Income details	Income range per annum <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"/> Rs. 25,00,000 to Rs. 1,00,00,000/- <input type="checkbox"/> More than Rs. 1 00,00,000/-
Net worth as on Date: _____ Rs. _____ (Net worth should not be older than 1 year)	
Occupation	<input type="checkbox"/> Private / 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"/> Not Applicable
Any other information	

OFFICE NAME & ADDRESS IF EMPLOYED / SELF EMPLOYED / BUSINESS / PROFESSIONAL

Name	_____
Address	_____
with pin code	_____

OTHER DETAILS

Bank Name	_____																				
Branch Address	_____																				
City	_____					State	_____					Country	_____								
Bank A/c. No.	_____					A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____														
MICR Number	_____										IFSC Code	_____									
Proof of Bank Submitted	<input type="checkbox"/> Bank Statement <input type="checkbox"/> Bank Passbook <input type="checkbox"/> Cancelled Cheque (with client name and A/c. no. printed) <input type="checkbox"/> Bank Verification Letter (original)																				

ADDITIONAL BANK ACCOUNT(S) DETAILS FOR TRADING

Bank Name			
Branch Address			
Account No.			
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> NRI/NRE/NRO <input type="checkbox"/> Others _____
MICR No.			
IFSC Code			
Proof of Bank Submitted	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

Type of Accounts (Please tick whichever is applicable)			
Status			Sub-Status
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Funds <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____	To be filled by the DP		
Corporate Sub-Status	<input type="checkbox"/> Domestic <input type="checkbox"/> Foreign Body <input type="checkbox"/> Group Company <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Others _____		
SEBI Registration No.		SEBI Registration Date	
RBI Registration No.		RBI Registration Date	
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____		

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

Bank details (dividend bank details)

Bank Code (9 digit MICR code)									
IFSC Code (11 characters)									
Account Number									

Mobile Number Declaration (Family to strictly include spouse, dependent children and dependent parents only, Kindly tick relevant option)

I hereby declare that the Mobile Number as per KRA KYC belongs to:


- Self or Spouse Dependent Children / Dependent Parents

Email ID Declaration (Family to strictly include spouse, dependent children and dependent parents only, Kindly tick relevant option)

I hereby declare that the Email ID as per KRA KYC belongs to:

- Self or Spouse Dependent Children / Dependent Parents

INTRODUCER / REFERENCE DETAILS


Introducer Name : _____
 Address : _____
 Code (if any) : _____ Tel. No.: _____
 Status of Introducer : Authorised Person Existing Client Others _____
 Signature of the Introducer :  1/1

INTRODUCER / REFERENCE DETAILS

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

I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.




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.

First / Sole Holder	
Name	
Signature	

Place: _____ Date: - -

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____ Family Name : _____

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

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

Date - -


Signature of Authorised Signatory

Seal/Stamp of the stock broker

For Individuals

KBS India Limited											
502, Commerce House, 140 Nagindas Master Road, Fort, Mumbai 400 001.											
Application No.						Date					
DP Internal Reference No.											
DP ID	1	2	0	9	6	5	0	0	Client ID		
(To be filled by the applicant in BLOCK LETTERS in English)									UCC		
I/We request you to open a demat account in my/ our name as per following details:-									Exchange		NSE / BSE
									Name & ID		09135 / 392

Holders Details

Sole / First Holder's Name									PAN										
									UID										
Second Holder's Name									PAN										
									UID										
Third Holder's Name									PAN										
									UID										

Name *

--	-------

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

Type of Account (Please tick whichever is applicable)

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

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

Guardian's Name	PAN
Relationship with the applicant	

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

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
--	--

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Bank Name										
Branch Name										
Bank Branch Address										
City		State		Country		PIN code				

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

ADDITIONAL INFORMATION (Mandatory)

Details for Sole Holder	
Occupation	Service <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body <input type="checkbox"/> Agriculture <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others _____
Please tick if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person
Nature of business: (Products services provided)	
Financial Details:	Income Range per annum: <input type="checkbox"/> Up to ₹ 1,00,000 <input type="checkbox"/> ₹ 1,00,001 to Rs 5,00,000 <input type="checkbox"/> ₹ 5,00,001 to ₹ 10,00,000 <input type="checkbox"/> ₹ 10,00,001 to ₹ 25,00,000 <input type="checkbox"/> More than ₹ 25,00,000
Net-Worth as on (date) should not be older than 1 year	Net-Worth (Amount) _____




Details for First Joint Holder									
Date of Birth	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____								
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married								
Occupation	Service <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body <input type="checkbox"/> Agriculture <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others _____								
Nature of business: (Products services provided)									

Details for Second Joint Holder									
Date of Birth	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____								
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married								
Occupation	Service <input type="checkbox"/> Central Govt. <input type="checkbox"/> State Govt. <input type="checkbox"/> Public / Private Sector <input type="checkbox"/> NGO <input type="checkbox"/> Statutory Body <input type="checkbox"/> Agriculture <input type="checkbox"/> Professional <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Others _____								
Nature of business: (Products services provided)									

SMS Alert Facility	MOBILE NO. + 9 1	
Refer to Terms & Conditions given as Annexure - 2.4	[(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).	
Easi	To register for easi , please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

COMMUNICATIONS PREFERENCE		
For communication to be sent to <input type="checkbox"/> First Holder <input type="checkbox"/> All Holder		
MODE OF OPERATION		
<input type="checkbox"/> Sole Holder	<input type="checkbox"/> Jointly	<input type="checkbox"/> All Holder

Name 1. _____ 2. _____ 3. _____

Signature 1.  _____ 2.  _____ 3.  _____

NOMINATION FORM

[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM / DP				FORM FOR NOMINATION												
Name and Address				<i>(To be filled in by individual applying singly or jointly)</i>												
Date	D	D	M	M	Y	Y	Y	Y	UCC / DP ID				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 1 st Nominee				Details of 2 nd Nominee				Details of 3 rd Nominee				
1.	Name of the nominee(s) (Mr./Ms.)															
2.	Share of each Nominee		Equally <small>[If not equally, please specify percentage]</small>		%				%				%			
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																
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 Account 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 Account 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

[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

To Trading Member/Participant's Name Trading Member/Participant's Address	Date	D	D	M	M	Y	Y	Y	Y
UCC/DP ID	I	N							
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									
<p>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.</p>									
Name and Signature of Holder(s)*									
<p>1. _____ 2. _____ 3. _____</p>									

For Non-individuals

KBS India Limited																		
502, Commerce House, 140 Nagindas Master Road, Fort, Mumbai 400 001.																		
(To be filled by the Depository Participant)																		
Application No.						Date		D	D	-	M	M	-	Y	Y	Y	Y	
DP Internal Reference No.																		
DP ID	1	2	0	9	6	5	0	0	Client ID									
(To be filled by the applicant in BLOCK LETTERS in English)										UCC		NSE / BSE						
I/We request you to open a demat account in my/ our name as per following details:-										Exchange								
										Name & ID		09135 / 392						
Holders Details																		
Sole / First Holder's Name						PAN												
Second Holder's Name						PAN												
Third Holder's Name						PAN												
						UID												
						UID												
						UID												
						UID												
Name *																		

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

Type of Account (Please tick whichever is applicable)

Status										Sub – Status									
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FI <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Other (Specify) _____										To be filled by the DP									
SEBI Registration No. (If Applicable)					SEBI Registration date					D	D	-	M	M	-	Y	Y	Y	Y
RBI Registration No. (If Applicable)					RBI Registration date					D	D	-	M	M	-	Y	Y	Y	Y
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Others (Specify) _____																	

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

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange											
Name of CC / CH											
Clearing Member Id						Trading member ID					

I / We wish to receive dividend / interest directly in to my bank account 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] Yes No

Bank Details [Dividend Bank Details]

Bank Code (9 digit MICR code)										
IFS Code (11 character)										
Account number										
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (specify) _____									
Bank Name	_____									
Branch Name	_____									
Bank Branch Address	_____									
City		State		Country		PIN code				

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

Other Details

Gross Annual Income Details	Income Range per annum:										
	<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 ₹ 10,00,000				
	<input type="checkbox"/> Rs 10,00,000 to Rs 25,00,000			<input type="checkbox"/> Rs 25,00,000 to Rs 1,00,00,000			<input type="checkbox"/> More than Rs 25,00,000				
Net worth as on (Date)	D	D	-	M	M	-	Y	Y	Y	Y	Rs.
[Net worth should not be older than 1 year]											

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) Please provide details as per Annexure 2.2 A.

Please tick , if applicable: Politically Exposed Person (PEP) Related to Politically Exposed Person (RPEP)

Any other information: _____

SMS Alert Facility	MOBILE NO. + 9 1 _____
Refer to Terms & Conditions given as Annexure - 2.4	[(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).
Easi	To register for easi , please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.

I/We have received and read the document of 'Rights and Obligation of BO-DP' (DP-CM agreement for BSE Clearing Member Accounts) including the schedules thereto and the terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/ our knowledge as on the date of making this application. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	Sole / First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature			

(In case of more authorised signatories, please add annexure)

(Signatures should be preferably in black ink).

Details of Politically Exposed Persons (PEP)/ Related to Politically Exposed Person (RPEP). [For-non-individual]

Name of holder _____ PAN of the holder _____

Sr. No	Name of the Authorized signatories /Promoters / Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP
			<input type="checkbox"/> PEP <input type="checkbox"/> RPEP

Name & Signature of the Authorised Signatories Date ____/____/____

PEP: Politically Exposed Person RPEP: Related to politically Exposed Person

Instructions to the Applicants (BOs) for account opening:

- Signatures can be in English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India. Thumb impressions and signatures other than the above mentioned languages must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate / Special Executive Officer under his/her official seal.
- Signatures should be preferably in black ink.
- Details of the Names, Address, Telephone Number(s), etc., of the Magistrate / Notary Public / Special Executive Magistrate / Special Executive Officer are to be provided in case of attestation done by them.
- In case of additional signatures (for accounts other than individuals), separate annexures should be attached to the account opening form.
- In case of applications containing a Power of Attorney, the relevant Power of Attorney or the self-certified copy thereof, must be lodged along with the application.
- All correspondence / queries shall be addressed to the first / sole applicant.
- Strike off whichever option, in the account opening form, is not applicable.

(Please Tear Here)

Acknowledgement Receipt

Application No.:		Date:	D	D	-	M	M	-	Y	Y	Y	Y
We hereby acknowledge the receipt of the Account Opening Application Form:												
Name of the Sole / First Holder												
Name of Second Holder												
Name of Third Holder												
Depository Participant Seal and Signature												

Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.

9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

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

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

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

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

BOID:

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

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name:

Second Holder's Name:

Third Holder's Name:

Mobile Number on which

messages are to be sent: +91 _____

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

The mobile number is registered in the name of:

Email ID: _____

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

Signatures:

1. _____

(First Holder)

2. _____

(Second Holder)

3. _____

(Third Holder)

Place : _____

Date : _____

FATCA - CRS Declaration - INDIVIDUAL

Please fill the information below as requested	First Account Holder	Second Account Holder	Third Account Holder
Name of the Account Holder			
Maiden Name (if any)			
Father's Name (mandatory)			
Spouse's Name			
Marital Status	Married Unmarried Other	Married Unmarried Other	Married Unmarried Other
Nationality	Indian Others _____	Indian Others _____	Indian Others _____
Aadhaar No.			
Identification Type Documents submitted as proof of identity of the individual	PAN Other (pls. Specify) _____	PAN Other (pls. Specify) _____	PAN Other (pls. Specify) _____
Please mention your Residential Status if it is any one of these	Resident Individual Non Resident Indian Foreign National Person of Indian Origin	Resident Individual Non Resident Indian Foreign National Person of Indian Origin	Resident Individual Non Resident Indian Foreign National Person of Indian Origin

Are you a tax resident (i.e. are you assessed for Tax) in any other country other than India ? Yes No

If 'Yes', please fill for all countries (other than India) in which you are a Resident for tax purpose i.e. where you are a Citizen / Resident / Green Card Holder / Tax Resident in the respective countries

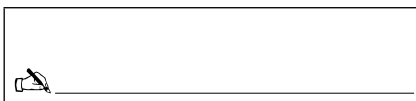
S. No.	Country of Tax Residency	Tax Identification Number (TIN) or Functional Equivalent	Identification Type (TIN or other, please specify)	If TIN is not available, please tick (3) the reason A, B or C [as defined below]
1.				→ Reason A B C
2.				→ Reason A B C

- Reason A → The country where the Account Holder is liable to pay tax does not issue TIN to its residents.
- Reason B → No TIN required [Select this reason only if the authorities of the respective country of tax residence do not required the TIN to be collected]
- Reason C → Others – Please specify the reasons _____

Declaration:

I / We certify that: a) the information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962. b) the information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/ categorization of the account as a Reportable account or otherwise. c) I/We permit/authorise the Company to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign. d) I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us or if any certification becomes incorrect and to provide fresh self-certification along with documentary evidence. e) I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (G01) /RBI/SEBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period. f) I/We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company. g) It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder. h) I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein. i) I/We shall indemnify the Company for any loss that may arise to the Company on account of providing incorrect or incomplete information. j) I / We certify that I/we have the capacity to sign as per CBDT rules/SEBI guidelines.

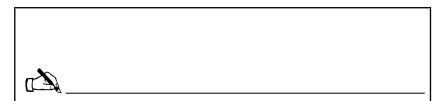
I/We authorize KBS INDIA LIMITED/ Its Associates / subsidiaries to authenticate data in accordance with UIDAI (Authentication) Regulations.



First Applicant



Second Applicant



Third Applicant

Date: _____

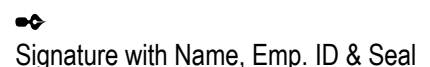
Place : _____

Acknowledgement

We acknowledge the receipt of FATCA/CRS declaration form duly filled and signed from Mr./Ms./ M/s. _____

_____ PAN [] [] [] [] [] [] [] [] [] [] on [] [] - [] [] - [] [] [] [] []

Date: [] [] - [] [] - [] [] [] [] []



PAN		Date of Incorporation	
Name			
Address Type [for KYC address]	Registered Office Corporate Office		
Place of Incorporation		Country of Incorporation	
Gross Annual Income Details in INR	< 1 Lakh 5 10 Lacs 25 Lacs -1 Cr	1-5 Lacs 10-25 Lacs > 1 Cr	Net Worth in INR in Lacs Net Worth as of
			DD - MM - YYYY
Is the entity involved in / providing any of the following services:	Foreign Exchange / Money Changer Services Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates] Money Laundering / Pawning	Any other information [if applicable]	[Please specify]

Is "Entity" a tax resident of any country other than India — Yes No

(If "Yes", please provide country/ies in which the entity is a resident for tax purpose and the associated TIN)

S No	Country of Tax Residency	Tax Payer Identification Number/ Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type [TIN or other, please specify]
1			
2			
3			

In case the Entity's Country of Incorporation / Tax Residence is US but Entity is not a Specified US person, mention Entity's exemption code here

[to be filled by Financial Institutions or Direct Reporting NFFEs]

<p>We are a</p> <p><input type="radio"/> Financial Institution / FFI</p> <p><input type="radio"/> Direct Reporting NFFE</p>	<p>GIIN (Global Intermediary Identification Number):</p> <table border="1"> <tr> <td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td> </tr> </table> <p>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</p> <p>Name of the sponsoring entity</p> <table border="1"> <tr> <td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td> </tr> </table> <p>GIIN not available [tick any one]:</p> <p>Applied For</p> <p>Not required to apply for—specify sub-category code <input type="checkbox"/><input type="checkbox"/></p> <p>Not obtained - Non-participating FFI</p>																																																		

Signature of First Holder	Signature of Second Holder	Signature of Third Holder

Date : _____




KBS India Limited (KBSIL) - DEPOSITORY PARTICIPANT TARIFF

Statutory charges at the time of account opening	NIL
Advance/Deposit	NIL
Account Maintenance Charges for Individual	Upfront ₹ 300/- + Tax as applicable
Account Maintenance Charges for Non-Individual	Upfront ₹ 1000/- + Tax as applicable
Life Time Free AMC Scheme - Individual	Upfront ₹ 1500/- + Annual Maintenance fee for corporate accounts as levied by CDSL
Life Time Free AMC Scheme - Non-Individual	Upfront ₹ 2500/- + Annual Maintenance fee for corporate accounts as levied by CDSL
Dematerialization	₹ 50/- per certificate
Rematerialization	₹ 50/- per certificate + CDSL charges
Transaction (Debit)	Minimum ₹ 15/- or 0.03% whichever is HIGHER
Margin Pledge / CUSPA Account Transfer Charges	₹ 7/- + G.S.T. per transaction
Pledge Creation (% of value for each ISIN in each request)	₹ 50/- or 0.02% whichever is HIGHER
Pledge Creation confirmation	NIL
Pledge Closure (% of value for each ISIN in each request)	₹ 50/- or 0.02% whichever is HIGHER
Pledge Closure confirmation	NIL
Pledge Invocation (% of value for each ISIN in each request)	₹ 50/- or 0.02% whichever is HIGHER
Failed Instruction charges	NIL
Other charges, if any	1) Cheque Bounce- ₹ 500/- 2) Physical Statement - ₹ 50/- (as Courier charges), 3) Modification in CML - ₹ 100/- per request.
Remarks	A) The above charges are subject to Taxes and duties as applicable as per government Rules B) GST as per prevailing Rates will be applicable on all Charges

Basic Services Demat Account (BSDA) : No Annual Maintenance Charges (AMC) shall be levied, if the value of securities holding is upto ₹ 50,000. For value of holdings above ₹ 50,001-2,00,000, AMC not exceeding ₹ 100 is chargeable. In case of debt securities, there is no AMC charges for holding value upto ₹ 1,00,000 and a maximum of ₹ 100 as AMC is chargeable for value of holdings between ₹ 1,00,001 and ₹ 2,00,000.

Note :

1. KBSIL reserves to the right to revise the tariff. Any upward revision of any charges, 30 days' notice will be given by publishing in website/email/post which shall be treated as sufficient notice.
2. All charges are exclusive of GST and stamp paper / stamp duty.
3. In case of non-payment of DP Charges, KBSIL may levy Delayed Payment Charges.
4. Delayed payment charges will be levied at 18%
5. Any services not quoted above will be charged separately.
6. Lost DIS Book charges will be ₹ 100/-.

		
Signature of First Holder	Signature of Second Holder	Signature of Third Holder

Date : _____

CONSENT FORM FOR RECEIVING TRADE/TRANSACTION ALERTS THROUGH SMS AND / OR E-MAIL

To
KBS India Limited
502, Commerce House,
140 Nagindas Master Road,
Fort, Mumbai 400 001.

Dear Sir,

I / We, _____ a client with KBS India Limited, Member of BSE, NSE and any other Stock Exchange and CDSL in future, undertakes as follows :

1. I /We are aware that Bombay Stock Exchange Limited (BSE), National Stock Exchange of India Limited (NSE) and Demat provides the details of the trades executed on their trading platforms to the concerned clients/constituents through SMS and E-mail alerts.
2. I / We are aware that the Member (KBS) has to provide the trade details through SMS / E-mail alerts for my/our convenience at my/our request only.
3. I / We hereby confirm that I / we wish to receive the trade alerts through:
 SMS E-mail SMS and E-mail

4) I/We hereby confirm and request you that the trade alerts should be sent on

Mobile Number :

+	9	1																
---	---	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

E-mail ID : _____

Relationship : _____

I / We hereby agree to the terms and conditions specified by the BSE vide Circular No. 20110809-19 dated August 9, 2011, NSE vide Circular No. 686/2011 dated November 18, 2011 and circulars I clarifications issued by the Exchanges from time to time in this regard. I/We am/are also aware that this is an additional facility provided by the Exchanges and I/we shall not solely rely or use such data for any purpose and Exchanges shall not be liable for any direct or indirect loss of any nature because of providing this additional facility to me/us.

Client Signature :

Client Name : _____

Unique Client Code : _____

PAN : _____

Date : _____

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date : - -

DP ID	1	2	0	9	6	5	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,
KBS India Limited
 502, Commerce House,
 140 Nagindas Master Road,
 Fort, Mumbai 400 001.




Dear Sir / Madam,

I/We hereby state that: [Select one of the options given below]

OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Power of Attorney (POA) / registered for eDIS in favour of / with **KBS India Limited** (name of the attorney / Clearing Member / PMS Manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder - Clearing Member / for executing delivery instructions through a eDIS.

Yours faithfully




Name	First/Sole Holder	Second Joint Holder	Third Joint Holder
Signature			

OR

OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I / We have issued a POA/registered for eDIS / in favour of / with _____ (name of the attorney / Clearing Member) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/ us immediately on my /our request at any later date.

Yours faithfully

Name	First/Sole Holder	Second Joint Holder	Third Joint Holder
Signature			

..... (Please Tear Here)

ACKNOWLEDGEMENT RECEIPT

Received **OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET** from:

DP ID	1	2	0	9	6	5	0	0	Client ID								
Name of the Sole/First Holder																	
Name of Second Holder																	
Name of Third Holder																	



Depository Participant Seal and Signatures

Date : - -

To,
KBS India Limited
502, Commerce House,
140 Nagindas Master Road,
Fort, Mumbai 400 001.

Dear Sir,




I/ We hereby state and declare that I have received, read and understood the below mentioned documents to my satisfaction and understood the voluntary clauses mutually agreed between us.

1. I/ We have received and read the document stating the Rights & Obligations of stock broker/commodity broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).
2. I/ We have received and read the Document detailing risks associated with dealing in the securities market / commodities market in the Risk Disclosure document.
3. I/ We have received and read the Guidance note detailing do's and don'ts for trading on exchanges, for the education of the investors.
4. I/ We have received and read the Document describing significant policies and procedures of the stock broker and also the tariff structure.
5. I/ We have received and the read the Documents describing Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories for the purpose of opening a Demat account.
6. I/ We have received and read the Guidance note detailing do's and don'ts for DP, for the education of the investors.
7. I/ We have received and read the Investor Charter for Stock Brokers, for the education of the investors.

I have got a clear idea about all brokerage, commissions, fees and other charges levied by the KBS India Limited for trading and Depository account as per the relevant provisions/ guidelines specified by the SEBI / Stock Exchanges.

I hereby acknowledge the same.

Client Code : _____

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

Place : _____ Date : - -

To,
KBS India Limited
 502, Commerce House,
 140 Nagindas Master Road,
 Fort, Mumbai 400 001.

Sir,

I/We hereby consent to receive the contract note/trade confirmations of the trades executed by me/us and monthly DP transaction cum holding statements, bills & account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the Rules made there under, to any of my self created Email Ids mentioned below -

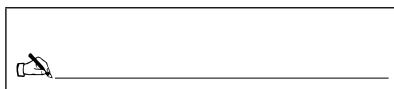
Email Id - 1	
Email Id - 2	
Email Id - 3	

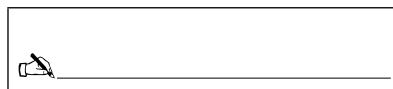
I/We further hereby consent to the following:

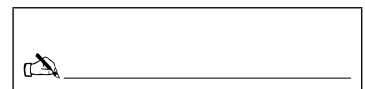
1. That the Member/Depository Participant shall fulfill its legal obligation if the aforesaid documents are sent electronically to any one of the said e-mail ids.
2. I/We shall communicate the change in e-mail id, if any, to you through a duly signed physical letter.
3. I/We undertake to check contract notes/ monthly DP holding and transaction statements, bills on regular basis and bring the discrepancies to your notice preferably within 48 hours of the execution of the trade or on receipt of the said statements.
4. Non verification or not accessing the contract notes! DP holding cum transaction statements on regular basis from my/our part shall not be a reason for disputing the contract note or the DP holding or transaction statements at any time.
5. That Member/ Depository Participant will not be responsible for non receipt of documents sent via electronic delivery due to change in email address as mentioned above or for any other reason which inter alia include the malfunction of my/our computer system/server/internet connection etc.
6. That the non-receipt of bounced mail notification by KBS shall mount to delivery of the documents at my/our E-mail ID.
7. That the Member shall not take cognizance of out-of office/out of station auto replies and I/We shall be deemed to have received such electronic mails.
8. 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.
9. I am aware that the Member has to provide electronic contract note for my convenience on my request only.
10. I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
11. My email id is * _____ . This has been created by me and not by someone else.
12. I am aware that this declaration form should be in English or in any other language known to me.
13. Digital Contract notes will also be available at URL <https://www.kbs.co.in> (Web link for client login).
14. Clients can view the Digital Contract notes on URL by using the username & password.

Yours faithfully,

Client Signature :







Client Name :

First Holder

Second Holder

Third Holder

To
KBS India Limited
502, Commerce House,
140 Nagindas Master Road,
Fort, Mumbai 400 001.

SUBJECT: RUNNING ACCOUNT AUTHORIZATION

Ref: Trading account bearing no: _____

I/We have been/ shall be dealing through you as a client in Capital Market, Future & Option and Currency Derivatives segments of NSE & BSE in which I/We have already opened accounts with you and/or I/We may open account in future.

I/We am/are aware that you and I/We have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives/regulations/circulars issued by the Exchanges/ regulatory authorities. However I/we find it difficult to carry out repeated pay-in of funds. Further, I/We also desired to use my/our monies as margin/collateral without which I/We cannot trade/deal. In order to facilitate ease of operations and to meet the upfront requirement of margin for trade:


I/We hereby direct and authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/we instruct you otherwise.
2. I/We request you to settle my/our funds account
 Once in every calendar Quarter **OR** Once in a calendar Month
3. I/We in case I have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet my settlement/ margin obligations on the settlement date and for next 5 trading days, calculated in the manner specified by the exchanges from to time.
4. I/We confirm and agree that if I/we fail to bring any dispute arising from the statement of accounts or settlement so made to your notice within 30 working days from the date of receipt of funds or statement, as the case may be in writing by Registered A.D at your corporate office then in that event the statement of accounts or settlement so made shall attain finality. Further do not carry out settlement of running account referred to above for funds given by me/us towards margin i the form of bank guarantee/ fixed deposit receipts.
5. I/We confirm you that I/We can revoke this authorization at any time by giving physical letter of revocation at your corporate Office address to allow you to make necessary changes to handle my/our account without running account authorization.
6. I/We hereby confirm that I/we would like to receive all documents including the statement of account for funds that have to be furnished to me/us at the contact address/e-mail id furnished by me/us.

Thanking you,

Yours faithfully,

Signature of Client :

 _____

Name : _____

Date : _____

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

To,
KBS India Limited
 502, Commerce House,
 140 Nagindas Master Road,
 Fort, Mumbai 400 001.

Sir(s),

Re: Letter for authorized signatories

Kindly find below a list of authorized signatories to represent us, their authority including but restricted to

1. Placing/ modifying/ cancelling orders on our behalf
2. Acknowledging contract notes issued by you to us for our trades
3. All other communications from us to you

	Name of the signatories	Signature	Relation, if any
1			
2			
3			

Client Signature : _____ Client Name : _____

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

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 nonmandatory, 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 Bye laws 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 byelaws 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-à-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 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 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, subbroker 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.
- 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 acknowledgment 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

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate email 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
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 IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/ Exchanges.

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 an 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.

POLICIES AND PROCEDURES (MANDATORY)

This document outlines various policies and procedures framed and followed by KBS INDIA LIMITED ("Stock Broker") with respect to its dealing with its client and as a stock broker on Bombay Stock Exchange Ltd.(BSE) & National Stock Exchange of India Ltd.(NSE)

The policies and procedures as stated herein below are subject to change from time to time at the sole discretion of Stock Broker, depending upon regulatory changes, its risk management framework, other market condition, etc.

The said policies and procedures which are subject to upgradation in the same from time to time are produced below for the benefit and notice of all our clients.

A. Refusal of orders for "Penny Stocks"

Although, the term "Penny Stock" has not been defined by BSE, NSE, or any other stock exchange or by SEBI, a "Penny Stock" generally refers to a stock which has following characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid

(A List of illiquid securities is jointly released by NSE and BSE, MCX-SX from time to time.) Stock Broker recognizes that it is the client's privilege to choose shares in which he / she would like to trade. However, Stock Broker likes to pay special attention to dealing in "Penny Stocks". To this end:

- Stock Broker may refuse to execute any client's orders in "Penny Stocks" without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny Stock" should be referred to Head - Dealing before such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny Stock" does not result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny Stock" does not operate as a device to inflate or depress or cause fluctuations in the price of such stock
- Clients are expected not to place orders in "Penny Stocks" at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of Stock Broker.
- In case of sale of "Penny Stocks", clients should ensure the delivery of shares to Stock Broker before the pay-in date.

B. Setting up client's exposure limit

- Exposure limit for each client is determined by the Risk Management Department based on client's net worth information, client's financial capacity, prevailing

market conditions and margin deposited by client in the form of funds / securities with Stock Broker These limits may be set exchange-wise, segment-wise, and scrip-wise.

- The limits are determined by Risk Management Department based on the above criteria and the payment history of the client in consultation with Sales / Sales traders.
- Stock Broker retains the discretion to set and modify, from time to time, any client's exposure limit decided as above.
- Whenever any client has taken or wants to take exposure in any security, Stock Broker may call for appropriate margins in the form of early pay-in of shares or funds before or after execution of trades in the Cash segment. In case of any margin shortfall, the clients will be told to reduce the position immediately or they will be requested to deposit extra margin to meet the shortfall. Otherwise, Stock Broker may refuse to trade on behalf of such client at its own discretion.

C. Applicable brokerage rate

- Brokerage Rate is mutually decided between the Stock Broker and each client based on client's net worth, expected trading volume, etc. The maximum brokerage chargeable will not exceed the rates prescribed by SEBI and the exchanges.
- The applicable brokerage rate will be mentioned in the Client registration form and any change in the brokerage rate in future will be communicated to the client.

D. Imposition of penalty / delayed payment charges by either party, specifying the rate and the period

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on the part of the client in satisfying his / her margin obligation or settlement obligation then Stock Broker shall levy delayed payment charges at the rate of not exceed 18% p.a. on such shortfall for the period of delay on such client. Stock Broker shall recover such delayed payment charges from the client by debiting the client's account.
- No interest or charges will be paid by Stock Broker to any client in respect of retention of funds or securities towards meeting future settlement obligations and in respect of running account authorizations.

E. Right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues

- Stock Broker has the right to close out / liquidate or square off any open position of the client (limited to the extent of settlement / margin obligation), without giving

any prior notice, all or any of the client's positions as well as securities / collaterals placed as margins for non-payment of margin or other amounts due from such client in respect of settlement or any other dues that are recoverable from the client by Stock Broker. The proceeds of the same shall be adjusted against the client's liabilities / obligations. Any loss or financial charges on account of such close-out / liquidation shall be debited to the client's account.

F. Shortages in obligations arising out of internal netting of trades

- Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under: a) The Short delivering client is provisionally debited by an amount equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+1 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier. b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+1 day or Auction day on Exchange +10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits Which ever is higher. c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day which ever is higher.

G. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of the client

Stock Broker shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following conditions:

- Extreme volatility in the market or in particular scrip or in the F&O segment.
- There is shortfall in the margin deposited by client with Stock Broker.

- There is insider trading restrictions on the client.
- There are any unforeseen adverse market conditions or any natural calamity affecting the operation of the market.
- There are any restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- The client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- Stock Broker has reached its limit in that scrip.
- The client has breached the client-wise limit.
- The client has taken or intends to take new position in a security which is in the banned period.
- Due to abnormal rise or fall in the market, the markets are closed.

H. Temporarily suspending or closing a client's account based on the client's request:

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, further dealing in such client's account will be blocked. Whenever trade has to be resumed in any suspended client account, a request in writing should be made by the client to the management and the management may ask for updated financial information and other details for reactivating such account. After receiving necessary documents, details, etc. and approval from the management, the client account will be reactivated and transaction will be carried out.
- Similarly, any client desirous of closing his / her account permanently is required to inform in writing and the decision in this regard will be taken by the management. After necessary approval from the management, the client code will be deactivated. Only after scrutinizing the compliance requirements and a "no pending queries" confirmation is taken, securities and funds accounts will be settled.

I. Deregistering a Client

Stock Broker. may, at its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which Stock Broker. may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities market.
- Such client has been indicted by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other

case involving violation of any law, rule, regulation, J. guideline or circular governing securities market.

- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or in the SEBI debarred list.
- Such client's account has been lying dormant for a long time or the client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him / her as insolvent have been initiated.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of Stock Broker. or may act as detriment to Stock Broker's prospects.

Inactive Client account: Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not traded even a single time will be considered as inactive, the shares/ credit ledger balance if any, will be transferred to the client within one week of the identifying the client as inactive. The client has to make written request for reactivation of their account.

K. Client Acceptance of Policies and Procedures stated herein above: I/We have fully understood the same and do hereby sign the same. These Policies and Procedures may be amended / changed by the broker with client consent by 15 days notice through any one or more means or methods. These Policies and Procedures shall always be read 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.

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial

owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

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

Statement of account

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

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever,

provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/ defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

24. The DP or the Depository shall have the right to freeze/ defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

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

Authorized representative

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



First Holder



Second Holder



Third Holder

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.nseindia.com/www.bseindia.com www.mcx-sx.com and SEBI website 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.
- 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.

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:
 14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
 15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the

stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES! COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints

against the stock brokers are displayed on the website of the relevant Stock exchange.

19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/subbroker 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.

Dear Investor

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involves complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts. It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing the Prevention of Money Laundering Act (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti-money laundering standards. Compliance with these standards has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stockbroker, depository participant, portfolio manager, sub-broker and any other intermediary associated with securities market. As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

FEMA DECLARATION (To be submitted by NRI applicant)

To
KBS India Limited
502, Commerce House,
140, Nagindas Master Road,
Fort, Mumbai - 400 001.

I/We hereby declare that all transactions, as may be entrusted by us to KBS India Limited from time to time will be in strict conformity with the prevailing provisions of Foreign Exchange Management Act, 1999 (FEMA) and regulations/ directions issued by Reserve Bank of India at the time the transactions. are put through.

I/We declare that all the securities held by me / us and to be purchased were / will be, subject to necessary approvals and compliances under FEMA and any other applicable law.

I/We undertake to indemnify KBS India Limited against any actual loss incurred by KBS India Limited due to non-compliance by me / us with FEMA or any other regulations in place.

I/We also hereby agree and undertake to give such information/documents as will satisfy you about transaction(s) in terms of the above declaration as may be require from time to time.

I/We also understand that if I/We refuse to comply with any such requirement or make only unsatisfactory compliance there with, KBS India Limited may refuse to undertake the transaction and shall if it has reason to believe that any contravention/evasion is contemplated by me/us report the matter to relevant authority/Reserve Bank of India.

Name of Applicant:

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Signature