

Annexure – 3
TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-individuals

A. BANK ACCOUNT(S) DETAILS

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

B. DEPOSITORY ACCOUNT(S) DETAILS

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

C. TRADING PREFERENCES

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

| Exchange | Segments | | |
|-------------------------|-------------------------------|--|--------------------------------|
| Name of the Exchange -1 | Cash | | Currency Derivative |
| | F&O | | Name of other Segments, if any |
| Name of the Exchange -2 | Name of the Segments -1, 2... | | |

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

D. PAST ACTIONS

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

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:
Sub-broker's Name: _____ SEBI Registration number: _____
Registered office address: _____
Ph: _____ Fax: _____ Website: _____
- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)
Name of stock broker: _____ Name of Sub-Broker, if any: _____
Client Code: _____ Exchange: _____
Details of disputes/dues pending from/to such stock broker/sub-broker: _____

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____
- Specify your Email id, if applicable: _____

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): _____
- Number of years of Investment/Trading Experience: _____
- In case of non-individuals, name, designation, PANS, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____
- Any other information: _____

G. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
(Surname) (Name) (Middle Name)
Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify _____
Address and phone no. of the Introducer: _____ Signature of the Introducer: _____

H. NOMINATION DETAILS (for individuals only)

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

Name of the Nominee: _____ Relationship with the Nominee: _____
PAN of Nominee: _____ Date of Birth of Nominee: _____
Address and phone no. of the Nominee: _____

If Nominee is a minor, details of guardian:

Name of guardian: _____ Address and phone no. of Guardian: _____
Signature of guardian _____

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

| | |
|-----------------|-----------------|
| Name _____ | Name _____ |
| Signature _____ | Signature _____ |
| Address _____ | Address _____ |

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the ‘Rights and Obligations’ document(s) and ‘Risk Disclosure Document’. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker’s designated website, if any.

Place _____ (-----)
Date _____ Signature of Client/ (all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____.

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

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

.....
Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

INSTRUCTIONS/ CHECK LIST

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

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

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

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

5. For non-individuals:

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