



Sl. No.

Date

Client Registration Form



NDA SECURITIES LIMITED

Member : NSE / BSE / MSEI

• INDIVIDUAL • HUF • CORPORATE • PARTNERSHIP FIRM

CLIENT CODE

CLIENT NAME

BRANCH

Note :-

- ◆ Please read the Account Opening Form carefully before filling up.
- ◆ Please bring the original documents for verification.
- ◆ Please do not use correction fluid - Cutting, if any, must be self-attested.
- ◆ Aadhaar Card is Mandatory.

We make investment easier

To,

We hereby inform you that only Account Opening Form, Rights and Obligations, Risk Disclosure Document (RDD), Guidance Note, Policies and Procedures, Tariff Sheet & Intimation by the member for proprietary trading are mandatory documents prescribed by SEBI. However some other documents are also required for smooth functioning, which are voluntary as the discretion of NDA & client. The same are also marked as 'VOLUNTARY'

For NDA Securities Ltd.

Sd/-
Authorised Signatory

I/we acknowledge the receipt of the information stated above and I/we am/are signing all these documents out of my/our will voluntarily.



(Signature of Client)

KRA Registration Details

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

☐ NDML ☐ CDSL ☐ CAMS ☐ DOTEX ☐ CKYC (Please tick any one)

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: _____ Date of Registration :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

CKYC Registration No.: _____ Date of Registration :

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. Important Points :

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

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

1. Unique Identification Number (UID) (Aadhaar) (Mandatory)/ 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. Unique Identification Number (UID) (Aadhaar) (Mandatory)/ Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill -Not more than 3 months old.
3. Bank Account Statement/Passbook --Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial

Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.

6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/Clarifications to PAN

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

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

E. List of people authorized to attest the documents:

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

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

Documentary Requirements

Corporate :

- 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 take over 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 :

- 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.
- Photograph, POI, POA, PAN of Partners.
- Power of Attorney granted to a partner or an employee of the firm to transact business on its behalf.
- Attach Proof to Identify (self attested copy of pan & aadhaar to be enclosed) and proof of address of the all partners and persons holding the POA apart from the above.
- Attach Proof of Legal name, telephone number, Bank account proof of the firm.

For Limited Liability Partnership :

- Copy of the LLP agreement.
- Copy of the Incorporation document and DPIN of the designated partners.
- Copy of the certificate of Registration issued by the ROC concerned.
- Copy of LLP-IN issued by the ROC.
- Copy of the Resolution to open an account and list of authorized person/s with the specimen signatures to operate the account duly attested by Designated Partners.
- Copy of PAN allotment letter.

Trust :

- 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 :

- 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 :

- 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 :

- 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) :

- Copy of SEBI registration certificate.
- 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 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.

(Note : Zerox copy of all documents pertaining to KYC should be self attested by the clients.)

DETAILS OF SENIOR OFFICIALS WITHIN THE STOCK BROKER FIRM

Name of Stock Broker : NDA Securities Ltd.

CIN No. : L74899DL1992PLC050366

SEBI Registration No. : NSDL - IN-DP-NSDL-313-2009, Dt.: 05-03-2009
NSE Capital Market - INB 230643830, Dt. 26-10-1994
NSE F&O Segment - INF 230643830, Dt. 12-06-2000
NSE Currency Derivative Segment - INE 230643830, Dt. 29-08-2008
BSE Capital Market - INB 010643832, Dt. 26-12-2005
BSE F&O Segment - INF 010643832, Dt. 03-01-2012
MSEI Equity Segment - INB 260643839, Dt. 30-01-2013
MSEI F&O Segment - INF 260643839, Dt. 30-01-2013
MSEI Currency Derivative Segment - INE 260643830, Dt. 03-03-2009

Registered Office Address : 1002-A, Arunachal, 19, Barakhamba Road, New Delhi-110001

Phone : 011-46204000 Fax : 011-23731210 Website : www.ndaindia.com

Correspondence Office Add. : 1002-A, Arunachal, 19, Barakhamba Road, New Delhi-110001

Phone : 011-46204000 Fax : 011-23731210 Website : www.ndaindia.com

Compliance Officer Name : Ms. Vanshika Rastogi

Phone : 011-46204060

E-mail : compliance@ndaindia.com

MD Name : Mr. Sanjay Agarwal

Phone : 011-46204029

E-mail : legal@ndaindia.com

For any grievance/dispute please contact NDA Securities Ltd. at the above address or

Email : investorcell@ndaindia.com

Phone : 011-46204029, 011-46204060

Clearing Member : Globe Capital Market Ltd.

Office Address : 609, Ansal Bhawan, 16 K.G. Marg, New Delhi-110001

Phone : 011-23720880

SEBI Regn. No. : INF 230663732 (For NSE - F&O)
INE 230663732 (For NSE - CD)
INF 010663731 (For BSE - F&O)
INF 260663738 (For MSEI - F&O)
INE 260663732 (For MSEI - CD)

(Applicable for NSE F&O, NSE CD, BSE F&O, MSEI F&O and MSEI CD Segments)

In case not satisfied with the response, please contact the concerned exchange(s) at (NSE) ignse@nse.co.in and Phone No. +91-22-26598190, (BSE) is@bseindia.com and Phone No. +91-22-22728097, (MSEI) investorcomplaints@msei.in and Phone No. +91-22-67318933/9000.

CLIENT DETAILS FORM

(TO BE FILLED BY THE RESPECTIVE BRANCH)



FOR INTERNAL USE OF NDA SECURITIES LTD.

For Individual, HUF, Corporate, Partnership Firm

SELECT MARKET TYPE :

NSE **BSE** **MSEI**

CM **CM** **CM**

F&O **F&O** **F&O**

CD **CD** **CD**

S.NO.	PARTICULARS	DETAILS								
1.	CLIENT NAME									
	TRADING ALIAS (UCC)									
	BRANCH									
	BROKERAGE DETAILS		NSE CM	NSE/F&O	NSE CD	BSE CM	BSE/F&O	MSEI CM	MSEI F&O	MSEI CD
	DEL%									
	MIN.									
	SQ.UP%									
	MIN.									
	FUTURE									
	OPTION (Per Lot)									
2.	BANK DETAILS NAME OF THE BANK									
	MICR NO. / IFSC CODE	MICR NO.				IFSC CODE				
	A/C NO.									
	TYPE (CURRENT / SAVING)									
3.	DP DETAILS :- NAME OF THE D.P.									
	DP ID NO.									
	BENEFICIARY ID NO.									
4.	CLIENT DETAILS :- ADDRESS :									
	PAN NO.									
	AADHAAR CARD (UID NO.)	A copy of UID card is mandatory								
	MOTHER NAME									
	ACTIVE DATE & BUSINESS COMMENCEMENT DATE									
	SPECIFY THE PROOF OF ADDRESS									
	CLIENT E-Mail									
	TELEPHONE NO. / MOBILE NO.	TELEPHONE NO.				MOBILE NO.				
5.	CONTACT PERSON & TELEPHONE NO.									
6.	REFERRED BY									

Note : The Client Code will not be allotted unless all the information in the form duly completed is received at the Head Office.

Signature of Branch Manager/Authorised Person

ACCOUNT OPENING KIT**ANNEXURE - I****INDEX OF DOCUMENTS****MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.	1-6
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	7-10
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	11-16
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	17-21
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	22-23
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	24-26
6.	Prevention of Money Laundering	Declaration	27
7.	Tariff Sheet & Intimation by the member for proprietary trading	Document detailing the rate of brokerage and other charges levied on the client for trading on the stock exchange(s) & proprietary trading	28

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Authorization Letter for Electronic Communication through E-mail & SMS	Where the client authorizes the stock broker to send contract notes and other documents in electronic form through E-mail & SMS	29-30
2.	Running Account Authorization	Letter where in Client Authorizes Stock Broker to maintain running account	31
3.	Letter for Operation of Account	All confirmation from Client for Operation of A/c	32
4.	Client Declaration about Mobile no./ E-mail Id	Client Declaration about Mobile no./E-mail Id	33
5.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individual	34-36
6.	Declaration by Sub Broker	Declaration by Sales Persons/Sub Broker/ Authorised Person/Remiser	37
7.	Format of Board Resolution	Format of Board Resolution to be provided by Corporate entities on their letter head	38

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

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type*

☐ Normal☐ Simplified (for low risk customers)☐ Small☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				
Date of Birth*				
Gender*	☐ M- Male	☐ F- Female	☐ T-Transgender	
Marital Status*	☐ Married	☐ Unmarried	☐ Others	
Citizenship*	☐ IN- Indian	☐ Others (ISO 3166 Country Code)		
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		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	

4. PROOF OF ADDRESS (PoA)*

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)(Certified copy of **any one** of the following Proof of Address [PoA] needs to be submitted)

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office	☐ Unspecified
Proof of Address*	☐ Passport	☐ Driving Licence	☐ UID (Aadhaar)		
	☐ Voter Identity Card	☐ NREGA Job Card	☐ Others		
	☐ Simplified Measures Account - Document Type code				

Address

Line 1*

Line 2

Line 3

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

MANDATORY

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)☐ Same as Current / Permanent / Overseas Address details☐ Same as Correspondence / Local Address details

Line 1*

Line 2 City / Town / Village*

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

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

Tel. (Off) - 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 PersonKYC Number of Related Person (if available*)

Related Person Type*

☐ Guardian of Minor☐ Assignee☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name*

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

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

☐ A- Passport Number Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

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

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : Place : 

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

Date

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

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

General Instructions:

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

A Clarification / Guidelines on filling 'Personal Details' section

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

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

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

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

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

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

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

- 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 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 4. 1.

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

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

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

F Clarification / Guidelines on filling 'Contact details' section

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

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

- 1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section

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

List of two - digit state / U.T codes as per Indian Motor Vehicle Act, 1988

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

List of ISO 3166 two - digit Country Code

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

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity

Important Instructions:

A) Fields marked with “*” are mandatory.

B) Please fill the form in English and in BLOCK letters.

C) List of two character ISO 3166 country codes is available at the end.

D) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

E) KYC number of entity is mandatory for update application.



For office use only	Application Type*	☐ New	☐ Update
(To be filled by financial institution)	KYC Number		
	Account Holder Type*	US Reportable ☐ ☐	Other Reportable ☐ ☐ (Please refer instruction A at the end)
	Nature of Business / Entity Constitution	Type*	(Please refer instruction B at the end)

☐ 1. ENTITY DETAILS (Please refer instruction **C** at the end)

☐ Name*																					
Date of Incorporation*		- -				Date of Commencement of Business*		- -													
Place of Incorporation*										Country of Incorporation *				Country of Residence as per Tax laws*							
Identification Type		☐		Tax Identification Number (TIN)										TIN Issuing Country							
PAN																					
Number of controlling person(s) resident outside India for tax purposes																					
(Please provide details of each Controlling Person resident outside India for		Tax purposes separately in 'Annexure C2')																			

2. PROOF OF IDENTITY (Pol)* (Please refer instruction **D** at the end)

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

☐ Certificate of Incorporation / Formation
 ☐ Registration Certificate

☐ Resolution of Board / Managing Committee
 ☐ Memorandum and Article of Association / Partnership Deed / Trust Deed

☐ Officially valid document(s) in respect of person authorised to transact

☐ **3. PROOF OF ADDRESS (PoA)*** *(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)* (Please see instruction **E** at the end)

3.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS*

Address Type*	☐ Residential / Business	☐ Residential	☐ Business	☐ Registered Office	☐ Unspecified																			
Proof of Address*	☐ Certificate of Incorporation / Formation		☐ Registration Certificate																					
Line 1*																								
Line 2																								
Line 3																								
State / U.T. Code*			Pin / Post Code*				ISO 3166 Country Code*				City / Town / Village*													

3.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS *

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill '**Annexure A2**')
 Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Of fice ☐ Unspecified
 Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate
 Line 1*
 Line 2
 Line 3
 State / U.T. Code* Pin / Post Code* City / Town / Village* ISO 3166 Country Code*

3.3 ADDRESS IN THE JURISDICTION WHERE ENTITY IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*

☐ Same as Current / Permanent / Overseas	Address details	☐ Same as Correspondence / Local	Address details
Address Type*	☐ Residential / Business	☐ Residential	☐ Business
			☐ Registered Office
			☐ Unspecified
Proof of Address*	☐ Certificate of Incorporation / Formation		☐ Registration Certificate
Line 1*			
Line 2			
Line 3			
State*	ZIP / Post Code*		City / Town / Village* ISO 3166 Country Code*

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

Tel. (Off) [] [] [] — [] [] [] [] [] Tel. (Res) [] [] [] — [] [] [] [] [] Mobile [] [] — [] [] [] [] []
FAX [] [] [] — [] [] [] [] [] Email ID [] [] [] [] [] [] [] [] [] [] [] [] [] []

☐ **5. DETAILS OF RELATED PERSON*** (In case of additional related persons, please fill 'Annexure B2') (Please refer instruction **G** at the end)

☐ Addition of Related Person
 ☐ Deletion of Related Person
 ☐ Update Related Person details

KYC Number of Related Person (if available*)

If KYC number is available, only 'Related Person Type' and 'Name' is mandatory.

Related Person Type*
 ☐ Director
 ☐ Promoter
 ☐ Karta
 ☐ Trustee
 ☐ Partner
 ☐ Authorised Signatory
 ☐ Court Appointed Official
 ☐ Beneficiary

MANDATORY

5.1 PERSONAL DETAILS (Please refer instruction G.I 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		Nationality*	☐ IN- Indian ☐ Others (ISO 3166 Country Code)
Residential Status*	☐ Resident Individual ☐ Non Resident Indian		☐ Foreign National ☐ Person of Indian Origin	
Occupation Type*	☐ S-Service (☐ Private Sector ☐ Public Sector ☐ Government Sector)		☐ Retired ☐ Housewife ☐ Student	
	☐ O-Others (☐ Professional ☐ Self Employed ☐ B-Business ☐ X-Not Categorised			

5.2 TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction G.II at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 5.2 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*

5.3 PROOF OF IDENTITY (PoI)* (Please refer instruction G.III at the end)

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

☐ A- Passport Number		Passport Expiry Date	DD - MM - YYYY
☐ B- Voter ID Card			
☐ C- PAN Card			
☐ D- Driving Licence		Driving Licence Expiry Date	DD - MM - YYYY
☐ E- UID (Aadhaar)			
☐ F- NREGA Job Card			
☐ Z- Others (any document notified by the central government)		Identification Number	

5.4 PROOF OF ADDRESS (PoA)* (Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

5.4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction G.IV at the end)

Address Type*	☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
Proof of Address*	☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
Address	☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify
Line 1*	
Line 2	
Line 3	City / Town / Village*
State / U.T. Code*	Pin / Post Code* ISO 3166 Country Code*

☐ 6 REMARKS (If any)

7. APPLICANT DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.
- My/Our personal KYC details may be shared with Central KYC Registry.
- I/We hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : DD - MM - YYYY Place :



[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Self-Certified ☐ True Copies ☐ NotaryRisk Category ☐ High ☐ Medium ☐ Low

KYC VERIFICATION CARRIED OUT BY

Identity Verification	☐ Done	Date	DD - MM - YYYY
Emp. Name			
Emp. Code			
Emp. Designation			
Emp. Branch			

[Employee Signature]

IN-PERSON VERIFICATION (IPV) CARRIED OUT BY

Identity Verification	☐ Done	Date	DD - MM - YYYY
Emp. Name			
Emp. Code			
Emp. Designation			

[Employee Signature]

INSTITUTION DETAILS

Name	N D A S E C U R I T I E S L T D.
Code	I N O 2 6 5

[Institution Stamp]

INSTITUTION DETAILS

Name	N D A S E C U R I T I E S L T D.
Code	I N O 2 6 5

[Institution Stamp]

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence | Local Address

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

(To be filled by financial institution)

Application Type*

☐ New☐ Update

KYC Number

(Mandatory for KYC update request)

☐ 1. CORRESPONDENCE / LOCAL ADDRESS DETAILS (Please see instruction E at the end)☐ Same as Current / Permanent / Overseas Address DetailsLine 1* Line 2 Line 3 City / Town / Village* District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code* ☐ 2. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)Tel. (Off) - Tel. (Res) - Mobile -FAX - Email ID

3. 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.

[Signature / Thumb Impression]

Date : --Place :

Signature / Thumb Impression of Applicant

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity KYC Application Form

General Instructions:

- 1 Fields marked with '*' are mandatory.
- 2 Tick '✓' wherever applicable.
- 3 Please fill the form in English and in BLOCK letters.
- 4 Please fill all dates in DD-MM-YYYY format.
- 5 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 6 KYC number of applicant is mandatory for update application.
- 7 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 8 PAN Card is Mandatory.

A Clarification / Guidelines for filling 'Account Holder' type section

US Reportable	Other Reportable
F1 - Owner-Documented FI with specified US owner(s)	C1 - Passive Non-Financial Entity with-one or more controlling person that is a Reportable Person
F2 - Passive Non-Financial Entity with substantial US owner(s)	C2 - Other Reportable Person
F3 - Non-Participating FFI	C3 - Passive Non-Financial Entity that is a CRS Reportable
F4 - Specified US Person	XX - Not Applicable
F5 - Direct Reporting NFFE	
XX - Not Applicable	

B Clarification / Guidelines for filling 'Nature of Business / Entity Constitution' type section

Entity Constitution Type:

A - Sole Proprietorship	H - Trust
B - Partnership Firm	I - Liquidator
C - HUF	J - Limited Liability Partnership
D - Private Limited Company	K - Artificial Juridical Person
E - Public Limited Company	Z - Others
F - Society	X - Not Categorized
G - Association of Persons (AOP) / Body of Individuals (BOI)	

C Clarification / Guidelines for filling 'Entity Details' section

Identification Type:

T-TIN
C- Company Identification Number
G- US GIIN
E- Global Entity Identification Number (EIN)
O- Other

D Clarification / Guidelines for filling 'Proof of Identity [Pol]' section

- 1 One certified copy of any one of the mentioned Proof of Identity [Pol] needs to be submitted.

E Clarification / Guidelines for filling 'Proof of Address [PoA]' section

- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 2 In case of multiple correspondence / local addresses, please fill 'Annexure A2'

F Clarification / Guidelines for filling 'Contact Details' section

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

G Clarification / Guidelines for filling 'Related Person Details' section**I Personal Details**

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

II Resident outside India for tax purposes

- 1 **Jurisdiction(s) of Residence:** It may be mentioned that since US taxes the global income of its citizen, every US citizen of whatever nationality, is also a resident for tax purpose in USA.
- 2 **Tax Identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification ("Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

III Proof of Identity [Pol]

- 1 If driving license number or passport is provided as Pol then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

IV Proof of Address [PoA]

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

H Clarification / Guidelines for filling 'Details of Controlling Person' section**I Personal Details**

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

II Proof of Identity [Pol]

- 1 If driving license number or passport is provided as Pol then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

III Proof of Address [PoA]

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

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

Name of the Applicant												PAN of the Applicant													
------------------------------	--	--	--	--	--	--	--	--	--	--	--	-----------------------------	--	--	--	--	--	--	--	--	--	--	--	--	--

1.	Name																			PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
2.	Relationship with Applicant (i.e. promoters, whole time directors etc.)																						
3.	a. PAN													b. DIN/Aadhaar No.									
4.	Residential/ Registered Address																						
		City/Town/Village								Pin Code													
State												Country											

5.	Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)																						
----	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

1.	Name																			PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
2.	Relationship with Applicant (i.e. promoters, whole time directors etc.)																						
3.	a. PAN													b. DIN/Aadhaar No.									
4.	Residential/ Registered Address																						
		City/Town/Village								Pin Code													
State												Country											

5.	Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)																						
----	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

1.	Name																			PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
2.	Relationship with Applicant (i.e. promoters, whole time directors etc.)																						
3.	a. PAN													b. DIN/Aadhaar No.									
4.	Residential/ Registered Address																						
		City/Town/Village								Pin Code													
State												Country											

5.	Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)																						
----	---	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Name & Signature of the Authorised Signatory(ies)

Date

D

D

M

M

Y

Y

Y

Y

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

Name of the Applicant												PAN of the Applicant											
1.	Name																			PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
2.	Relationship with Applicant (i.e. promoters, whole time directors etc.)																						
3.	a. PAN															b. DIN/Aadhaar No.							
4.	Residential/ Registered Address																						
		City/Town/Village								Pin Code													
State												Country											
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)																							
1.	Name																			PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
2.	Relationship with Applicant (i.e. promoters, whole time directors etc.)																						
3.	a. PAN															b. DIN/Aadhaar No.							
4.	Residential/ Registered Address																						
		City/Town/Village								Pin Code													
State												Country											
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)																							
1.	Name																			PHOTOGRAPH Please affix your recent passport size photograph and sign across it			
2.	Relationship with Applicant (i.e. promoters, whole time directors etc.)																						
3.	a. PAN															b. DIN/Aadhaar No.							
4.	Residential/ Registered Address																						
		City/Town/Village								Pin Code													
State												Country											
5. Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (PEP)																							
Name & Signature of the Authorised Signatory(ies)												Date		D	D	M	M	Y	Y	Y	Y		

ANNEXURE-3**TRADING ACCOUNT RELATED DETAILS (For Individuals & Non-Individuals)****Bank Accounts Details : (Through which transactions will generally be routed)**

Bank Name	Branch Address	Account Number	Account Type	MICR Number	IFSC Code
Primary					
Secondary					

(Copy of a Cancelled Cheque leaf/pass book / bank statement containing name of the constituent should be submitted.)

Depository Accounts Details : (Through which transactions will generally be routed)

Depository Participant Name	Name of Depository NSDL / CDSL	Beneficiary Name	DP ID	Beneficiary ID
Primary				
Secondary				

(Copy of holding statement/transaction statement/client master issued by D P of the constitute name.)

TRADING PREFERENCES

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

Stock Exchanges	Market Segments					
☐ NSE	☐ CM		☐ F&O		☐ CD	
☐ BSE	☐ CM		☐ F&O			
☐ MSEI	☐ CM	NA	☐ F&O	NA	☐ CD	NA

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.

OTHER DETAILS

- Gross Annual Income Details : ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
(please specify) ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore OR

Net Worth (Net worth should not be older than 1 year) Amount Rs. _____

as on (date) (Compulsory for Non-Individuals)

- Occupation : ☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional
(please tick any one and give brief details) ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others _____ Please Specify

- Please tick, if applicable : ☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

- Any other information : _____

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 : _____

4 

(Signature of Client)

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 : _____

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 ✓ segment on) :

NSE CM ☐ NSE F&O ☐ NSE CD ☐ BSE CM ☐ BSE F&O ☐ MSEI CM ☐ MSEI F&O ☐ MSEI CD ☐

Number of years of Investment/Trading Experience : _____

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorised to deal in securities on behalf of company/firm/others :

Name _____

PAN _____

Residential Address _____

PHOTOGRAPH

Sign across the
Photograph

Any other information : _____

⊗ _____
(Signature of Authorised Person)

G. INTRODUCER DETAILS (Reference)

Name of the introducer : _____ Code : _____

Status of the Introducer : ☐ Sub Broker ☐ Remisier ☐ Auth. Person ☐ Existing Client ☐ Others

Address : _____

Ph./Mobile No. : _____ Sign. of the Introducer ⊗ _____

NOMINATION DETAILS (for individuals only) I Wish to make a Nomination ☐

I/We wish to make a nomination and do hereby nominate the following person who is entitled to receive funds/securities balances in the event of death of the client

Name of Nominee _____ Relationship with the client _____

PAN of Nominee _____ Date of Birth of Nominee : _____

Address & Ph. No. of the Nominee : _____ ⊗ _____
(Signature of Nominee)

If Nominee is a minor, details of guardian :

Name of the Guardian : _____ Address & Ph. No. _____

_____ Sign. of Guardian ⊗ _____

WITNESS ONLY APPLICABLE INCASE WHERE ACCOUNT HOLDER HAS MADE NOMINATION

Signature of Witness _____

Name : _____

Address : _____

Signature of Witness _____

Name : _____

Address : _____

"OR",



I/We do not wish to make a Nomination.

5 

(Signature of Client)

DECLARATION

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

Place.....

Date.....



(Signature of Client)

FOR OFFICE USE ONLY

UCC Code Allotted to the Client : _____

Particulars	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee/NDA Staff			
Employee Code			
Designation of the Employee			
Place of Verification			
Name of Organization	NDA SECURITIES LTD.		
Date of Verification			
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.

☐ (Originals verified) True Copies of documents received

☐ (Self-Attested) Self Certified Document copies received

⊗ _____
Signature of the Authorized Signatory

Date : _____

Seal/Stamp of the Stock Broker

INSTRUCTION CHECK LIST

Self certified copies of the following documents to be obtained after due verification with the originals

Type of documents	Exchange/SEBI/Trading Members requirements
Proof of identity	Copy of PAN Card ☐ (Mandatory) or UID / Aadhaar (Mandatory) ☐ Passport ☐ Voter ID ☐
Proof of Address	UID/Aadhaar (Mandatory) ☐ Passport ☐ Voter ID ☐ Driving license ☐ Ration Card ☐ Bank Passbook with latest statement ☐ Rent Agreement ☐ Flat Maintenance Bill ☐ Telephone Bill ☐ Electricity Bill ☐ Insurance Policy ☐ others documents with address accepted by Depository
Proof of Bank	Copy of a cancelled cheque containing preprinted name of the client and IFSC Code In case the cancelled cheque does not contain the name of the client and/or IFSC Code, extra documentary proof from the bank for the same
Proof of demat	Demat Master issued by the DP bearing DP Stamp/ Recent holding statement containing the name of the client
Financial details	Compulsory for trading in Derivatives Segment - <u>Illustrative list</u> 1. Copy of ITR Acknowledgement 2. Copy of Annual Accounts 3. Copy of Form 16 in case of salary income 4. Net worth certificate 5. Salary Slip 6. Bank account statement for last 6 months 7. Copy of demat account Holding statement. 8. Any other relevant documents substantiating ownership of assets. 9. Self declaration along with relevant supporting

Document requirement in case of corporate clients

Copies of the following documents may be obtained after due verification with the originals thereof:-

1. Copies of the balance sheet for the last 2 financial years (copies of annual balance sheet to be submitted every year)
2. Copy of latest share holding pattern including list of all those holding more than 5% in the share capital of the company, duly certified by the company secretary/Whole-time director/MD.
(Copy of updated shareholding pattern to be submitted every year).
3. Copies of the Memorandum and Articles of Association in case of a company/body incorporate/ partnership deed in case of a partnership firm.
4. Copy of the Resolution of board of directors approving participation in equity/debt/derivatives/ currency derivatives and naming authorized persons for dealing in securities.
5. Photographs of Partners/Whole time directors, individual promoters holding 5% or more, either directly or indirectly, in the shareholding of the company and of persons authorized to deal in securities.
6. **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 Bankers, Indian Embassy/Consulate General in the country where the client resides may be permitted.
7. **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.

ANNEXURE-4

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS

as prescribed by SEBI and Stock Exchanges

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

CLIENT INFORMATION

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

MARGINS

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

TRANSACTIONS AND SETTLEMENTS

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

BROKERAGE

18. The Client shall pay to the stock broker brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

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

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-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 said client/stock-broker.

TERMINATION OF RELATIONSHIP

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

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares, etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.
31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the

Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.

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

ELECTRONIC CONTRACT NOTES (ECN)

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

LAW AND JURISDICTION

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

7 

(Signature of Client)

**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.



(Signature of Client)

ANNEXURE-5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

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

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

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

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

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

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

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

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

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

1.2 Risk of Lower Liquidity:

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

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

1.3 Risk of Wider Spreads:

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

1.4 Risk-reducing orders:

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

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

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

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

1.5 Risk of News Announcements:

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

1.6 Risk of Rumors:

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

1.7 System Risk:

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

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

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

1.8 System/Network Congestion:

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

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

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

- A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.
- B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.
- C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when

there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

- D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.
- E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

- 1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.
- 2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.
- 3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

- 1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
- 2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

- 1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
- 2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.
- 3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

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

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

4. GENERAL

- 4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.
- 4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

9 

(Signature of Client)

ANNEXURE-6

GUIDANCE NOTE - DO'S AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges websites i.e. www.nse.com, www.bse.com, www.msei.in 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.

TRANSACTIONS AND SETTLEMENTS

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

derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

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

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges 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/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/ compliance officer exclusively for the purpose of registering complaints.

10 

(Signature of Client)

Mandatory Documents Regarding Policies and Procedures

To run the business in a smooth manner NDA Securities Ltd. (hereinafter called the trading member) has formed some policies and procedures in some selected area and the prospective client is hereby required to agree with the same before entering into a member client agreement. The policies are as follows:

a) Refusal of orders for penny stocks :-

All illiquid Securities and trade to trade securities defined in the exchanges circulars will be considered as Penny Stocks and all those Shares and stocks which trade at a low price and low market capitalization and normally considered to be high risky and Speculative, will also be termed as penny stock. Acceptance for execution of order in case of penny stocks will be taken only against 100% margin deposit in advance in form of credit balance available in client account, with the trading member. Depending upon the market condition and risk management policy of the company the trading member reserves the right to cancel/refuse the order or acceptance of such order and the trading member also reserves the right to refuse to provide the limits in penny stock. Such order will be placed in the system after checking of the margin available with the trading member and status of illiquid securities. Any loss on account of such refusal and cancellation of order shall be borne by the client only.

b) Setting up of clients exposure limits.:

Client's exposure limit will be set according to the margin prescribed by the exchange from time to time based on deposits available with the trading member in form of credit balance in ledger and valuation of Securities available with the trading member after haircut. The Trading Member may from time to time vary limits on the orders that the client can place through the Trading Member (including exposure limits, turnover limits, Purchase limits, Sales Limit, Mark to Mark & margin Limit for kind of securities). The client is aware and agrees that the Trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of its risk perception and other factors considered relevant by it, and the Trading Member may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the Trading Member shall not be responsible for such variation, reduction.

The client further agrees that the Trading member may at any time, without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the Trading member, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to any reason but not limited to the reason of Shortage of margin or securities and any other reasons which the Trading Member may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

c) Applicable Brokerage Rate:

The Trading member will charge brokerage as per following schedule for his services to clients.

- a. Brokerage** will be charged within the time prescribed by SEBI/ Exchange and it will be as a % of market rate per share or minimum per share/ Minimum per lot / Minimum per Settlement whichever ever is higher
- b. Securities Transaction Tax** : as per the guidelines and Percentage prescribed by the Income Tax Act from time to time.
- c. Stamp Duty**: As per the guidelines and Percentage prescribed by the state govt. from time to time.
- d. Transaction Charges to exchange with service tax** :as per the guidelines and percentage prescribed by the Exchange from time to time.
- e. SEBI Fees**: as per the guidelines and Percentage Prescribed by the SEBI from time to time.
- f. Internet Trading Charges**: as prescribed by the broker from time to time if client opted for the internet trading.

- g. Any Other Charges: as Prescribed by any govt. authority or exchange or SEBI from Time to time.

In case of amendment of the brokerage table the trading member or the client will issue a 7 days notice through physical / electronic and the same will be applicable if agreed by both the parties to the agreement.

d) Imposition of penalty/delay payment charges :

The Clients will be liable to pay late pay in or delay pay in charges for non payment of their pay in on time as per exchange requirements. .The trading member can debit delay payment charges with service tax , in case the pay-in of funds will not received well in time i.e. on or before pay-in of funds for the settlements . These charges will not exceed 24% p.a. calculated on daily basis , and in case of credit balance lying idle in client ledger account as per running account authorization no delay payment charges will be credit in client account. These charge will be applicable to in all market segments e.g. (NSE+BSE) separately / Combined and FO . The decision of Trading member with respect to debit delay payment charges in selected clients accounts is final.

e) Right to Sell Client Securities or to close client's positions, without giving notice to the client, on account of non-payment of client's dues:

The client shall ensure timely availability of funds/securities in form and manner at requisite time for meeting pay in obligation of funds and securities. Along with the right to debit delay payment charges and any other right the Trading member shall have right to sell the securities or close client's position without giving notice to the client, on account of non-payment of margin or other amount including pay in and outstanding debts after the settlement of pay in for a settlement and adjust the proceed of such sale proceeds / close out against the clients obligation. The right to sell the client's securities and to close client's position shall be limited to the extent of settlement /margin obligations. During such selling of securities and closing out of position by the trading member, will not be liable to make good the loss /financial charges if any occurs to the client.

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

f) Shortage in obligation arising out of internal netting of shares.:

Securities delivered short due to internal netting of shares are purchased from the market on T+2 Day in the account of Buyer UCC and the purchase consideration inclusive of brokerage and taxes will be debited to the short delivering client with a corresponding credit to the clients who was entitled to receive these securities.

In case the securities can not be purchased from the market due to any force major condition e.g. circuit on T+2 Day then the short delivering client will be debited by an amount equivalent to the price happened in auction trading including all other charges with a corresponding credit to the clients who was entitled to receive these securities.

In case no auction trade takes place on the day then the short delivering client will be debited by an amount equivalent to the 20% or 10%(as per circuit filter of the security) above of the closing rate of T+2/ auction day (whichever is higher) including all other charges and with a corresponding credit to the clients who was entitled to receive these securities.

g) Conditions under which a client may not be allowed to take position or the broker may close the exiting position of a client:

The Trading member has a margin based Risk management system and the client may take position up to the availability of amount of margin with trading member. Client may not be allowed to take position in case of non availability/shortage of margin. The existing position of the client can be close out without giving notice in case of shortage of margin/ non making of payment for their pay in obligation/ outstanding debts.

The Trading Member may not allowed to client to take position in case clear upfront applicable margin is not available/received with/by the trading member well in time or there is a shortage in exiting margin as compare to the existing position and the trading member may close the exiting position of a client in case mark to market is not received or available with the trading member or there is shortage of margin and the client is not fulfilling the same.

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

Client willing to suspend /close his/her/its trading account will give a written request in prescribed format to the trading member and the member will do the same well in time .during the period of suspension, the market transaction in the client trading account will be prohibited. The closing of client account will be done only in case of client account is settled and if clients wants to reopen the old account then he/she/it its will have to complete the requirements of 'Know your clients' again.

i) Deregistering a client:

The Trading may deregister a client if the trading member is not comfortable with the client due to its risk management policies or its due diligence does not allow it or otherwise. The Trading member may deregister a client in following situation

- (i) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Trading Member;
- (ii) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable,
- (iii) If the Client is in breach of any term, condition or covenant of this Agreement,
- (vi) If the Client has made any material misrepresentation of facts, information,
- (vi) On the death/lunacy/bankruptcy or other disability of the Client,
- (vi) If there is any initiation of a legal proceedings against the client under any law by any authority in force,
- (vii) If any covenant of the Client is incorrect or untrue in any material respect.
- (viii) If the client would not receive any communication sent by the trading member or would not provide the documents as desired by the trading member.

j) Inactive Account:

The client who have been not traded for last more than 180 days has to be marked as "Inactive Account". There are checks in the systems for the inactive accounts. The Funds and/or Securities lying in these Inactive Clients' Accounts, will be transferred to their respective Accounts after taking consent from the Client. To activate the said inactive accounts one needs to provide the request letter for the activation of the code. After due verification, the accounts will be activated.

Client Acknowledgement:

I have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses of this document in any circumstances what so ever.

These Policies and Procedures may be amended / changed unilaterally by the broker, provided the same is informed to me/us . I/we agree never to challenge he same on any grounds including delayed receipt / non receipt or any other reasons whatsoever.

These policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute / difference or claim between me/us and trading member before any court of law / judicial / adjudicating authority including arbitrator etc.

11 

(Signature of Client)

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

Date _____

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document: -

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23, 2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information within the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.

NOTE : For detail information related with policy kindly go through our website www.ndaindia.com/investorrelations/policies/policyonantimoneylaundering.

TARIFF PLAN

EQUITY SEGMENT			NSE / BSE	F & O SEGMENT		
Brokerage Slab	Slab in %	Minimum per Share	Brokerage Slab	Slab in %	Minimum per Lot	
Delivery Based			Future			
Square Off			Options (per lot)			

EQUITY SEGMENT			MSEI	F & O SEGMENT		
Brokerage Slab	Slab in %	Minimum per Share	Brokerage Slab	Slab in %	Minimum per Lot	
Delivery Based			Future			
Square Off			Options (per lot)			

CD SEGMENT - NSE			CD SEGMENT - MSEI		
Brokerage Slab	Slab in %	Minimum Brokerage per Lot	Brokerage Slab	Slab in %	Minimum Brokerage per Lot
Future			Future	NA	NA
Options (per lot)			Options (per lot)	NA	NA

Note :

1. Transaction charges, STT, Stamp Duty, GST & all legal levies as may be applicable from time to time shall be charged separately in addition to the brokerage.
2. In case of overdue debit balance in client's account, member reserves the right to debit delay payment charge upto 2% p.m. to the client account.

13 

(Signature of Client)

INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING

Dear Constituent

Under instruction of SEBI, The National Stock Exchange of India Ltd. (NSE), Bombay Stock Exchange Ltd. (BSE) and Metropolitan Stock Exchange of India Ltd. (MSEI) has directed all its members to inform their clients whether they engage in proprietary trading. In this regard we wish to inform you that we do engage in proprietary trading in the CM, F&O and Currency Derivative Segment of National Stock Exchange of India Ltd., CM and F&O Segment of Bombay Stock Exchange Ltd., CM, F&O and Currency Derivative Segment of Metropolitan Stock Exchange of India Ltd.

Kindly take note of the above and oblige.

Thanking you

For **NDA Securities Limited**

Sd/-
Authorised Signatory

I have read the above intimation & acknowledge for the same.

14 

(Signature of Client)

Digitally Signed Contracts/ Communications through SMS & E-mail All Exchanges - Voluntary

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure smooth communication between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

Date_____

To,
NDA Securities Ltd.
1002A, Arunachal,
19, Barakhamba Road,
New Delhi-110001

Re: Digitally signed contract/communication confirmation through SMS & E-mail

I/We have been/shall be dealing through you as my/our broker on the Capital Market Segment, Future & Option Segment and Currency Derivatives Segment. As my/our broker i.e. agent I/We direct authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I/We understand that, I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt to receive contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" to send the electronic contract notes. Accordingly, please note/update the following email account(s)/email id in your record for sending the contract notes to me/us.

1. _____

2. _____

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s)/email id(s).

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email services, loss of connectivity, email in transit etc.

I/We agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt/delayed receipt for any reason whatsoever.

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you, provided however that if I/We am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

I/We agree that when ever I/We did not receive contact note in electronic form. I/We will collect physical contract note from your office.

I/We further hereby authorize you to please provide me my/our daily end of the day position or any message related to trading/analysis of Stocks and derivatives on my below mentioned mobile number :

1. _____

2. _____

I/We declare that this is my personal mobile number and is always in my safe custody. I shall keep NDA SECURITIES LTD. informed above any change in my mobile number, and ensure that I receive a confirmation from of the same.

In case of any discrepancy in sms at end of the day position, I shall inform the company in writing within 24 hours of receiving the sms, otherwise it would be presumed that all information provided by the company is correct & accepted to me.

I/We are fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/misuse of the E-mail/SMS. I understand NDA SECURITIES LTD. will not be anyway responsible or liable for the same.

Further, I hereby confirm and declare that any or all such requested assistance/information would not be held against you for any problem that may occur to me.

Kindly consider my above request and declaration.

Thanking you,

Yours faithfully



(Signature of Client)

Client Name & Code : _____

Client Address _____

Date : _____

ALL EXCHANGES RUNNING ACCOUNT AUTHORIZATION - VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

To,
NDA Securities Ltd.
1002A, Arunachal, 19, Barakhamba Road,
New Delhi-110001

Date _____

Sir(s),

Re: Running Account Authorisation

We are aware that as per the SEBI/ Exchange requirements, the settlement of funds/securities shall be done within one working day of the payout. However, we request you to kindly keep my account as a running account, which will entail that all securities and funds due to us on payout shall be withheld with yourselves and given to us only on demand. Since the transactions are very frequent for purchase and sale of Securities, therefore I/We authorise you to retain my/our payment of funds and securities to meet our/my margin and pay-in requirement. I/We will advise you to release the funds and securities as per my/our requirement from time to time. I request you to retain credit balance in any of my account and to use the idle funds towards my margin/future obligations at the exchange unless I instruct you otherwise. I request you to retain securities in your demat account for our margin/ future obligation at both the exchanges unless I instruct you to transfer the same to my account. I request you to please settle my statement of account for funds and securities on following intervals unless I instruct you otherwise.

Quarterly basis ☐

Monthly basis ☐

At the time of periodical settlement of funds and securities, I further authorized you to please retain funds up to Rs. 10,000/- or such amount as specified by regular, in my trading account for the smooth running of the trading and to avoid administrative of operational difficulties for transfer of funds and securities.

I hereby state that all the above declaration will be valid until and unless I revoke the authorization in writing and I can revoke the same at any time.

I understand that :

As per SEBI requirements, the authorization shall be renewed at least once a year and shall be dated and the manner of renewal will be as per the policies on your website **ndaindia.com** which under all circumstances shall be conforming to the norms prescribed by SEBI/ Exchanges:

1. As per SEBI requirements, the authorization shall be renewed at least once a year and shall be dated.
2. The manner of renewal will be as per the policies on your website **ndaindia.com** which under all circumstances shall be conforming to the norms prescribed by SEBI/ Exchanges.
3. We can revoke this running account authorization at any time
4. You shall transfer the funds / securities lying in our credit within one working day of the request if the same are lying with you and within three working days from the request if the same are lying with the Clearing Member/ Clearing Corporation

Thanking you

Name : _____

Client Code : _____

16 

(Signature of Client)

Note: The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

LETTER FOR OPERATION OF ACCOUNT — ALL EXCHANGES-VOLUNTARY

(Kindly note that these additional clause(s)/ documentation(s) are voluntary and at the discretion of the stock broker/ trading member and the client. The same are required in order to ensure smooth function running on a day to day basis between the stock broker/ trading member and the client. The client need not execute this document if he / she does not wish to. The client has the right to terminate the document)

To,
NDA Securities Ltd.
1002A, Arunachal,
19, Barakhamba Road,
NEW DELHI-110001

Date _____

Reg.: LETTER FOR OPERATION OF ACCOUNT

Dear Sir,

For the smooth operations of the account, kindly note our following instructions:

1. Since the transactions are very frequent for purchase and sale of shares. I/we authorize you to retain my/our payment of funds and securities to meet our/my margin and pay in requirement. I/we will advise you to release the funds and securities as per my requirement from time to time.
2. I/We also deal in derivative segments & you can transfer the funds to my/our account in derivatives segments to meet Pay-in/Pay-out of margin requirement.
3. I/we also confirm that my/our order for purchase and sale of shares, modification and cancellation instructions which may be given to you through telephone will be treated as our confirmed order instructions and shall be binding on me/us. These are my/our standing instructions for your compliance please.
4. I/we authorize you to inter segment/inter exchange transfer or hold funds, securities, debit, credit etc. among my/our family members A/c with you. I/we also authorize you to debit charges for depository services and other incidental charges to my/our account.
5. I/we authorize you to debit charges incurred for the shares pledged by me/us.
6. I/we authorised you to debit my trading account in case of you has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/ actions of my self.
7. All fine panelties and charges levied upon you due to margin shortage and my trading code modification etc. may be recovered by you from my trading account.
8. I/we authorised you to debit my trading account with internet trading charges, clearing charges and RMS charges for dealing in F&O and CDS segment as applicable from time to time shall be charged separately.
9. I/we hereby authorize you to close out my position and sell the securities held with you in case there is undue delay/default by me in making the due payment to you to the extent of my obligation to you in respect of the transactions done by me. I understand that during such closing out of position by you for any of the above reasons, if any loss occurs, I will be liable to make good the same to you.
10. Trading on the NSE, BSE, MSEI are done in the electronic mode through the use of VSAT, VPN, ISDN, Modem, Leased Line or other electronic facility and computers through which the orders are executed. In case of any failure of the communication set up due to failure of the system, delay in executing orders, halt trading or any such technical problem or temporary suspension by the exchange for whatever reasons, where connecting to the system may be beyond your control and the orders to buy/sell are delayed, I/we will not hold you responsible for the same either in part or in full.

Thanking you,

Yours faithfully,



(Signature of Client)

Name: _____

Address: _____

Address: _____

Note: The authorization shall be signed by the client only and not by any authorised person on his behalf or any holder of the Power of Attorney.

CLIENT DECLARATION ABOUT MOBILE NO. / EMAIL ID

To,
NDA Securities Limited
1002A, Arunachal, 19, Barakhamba Road,
New Delhi-110001

Date _____

Dear Sir,

Sub: Declaration about E- mail ID and Mobile No.

Ref: Existing/ New Client Code _____

I/We hereby request you to update the Mobile No. and E-mail ID number for sending SMS & Other Communication including but not limited to Contract Notes pertaining to my/our Trading Account opened with you for trading in various segments of exchanges.

Mobile Number: _____

Email ID. : _____

I/we do hereby declare that the aforesaid details pertain to me/us or my/ our family members

(means Self ☐ , Spouse ☐ , Dependent Children ☐ and Dependent Parents ☐ only. The detail of which is given below:

S.No.	Client Name	Trading Code (UCC)

You can register the same to Exchange (s) or register null details on UCC/ UCI platforms. The information sent/ communicated on the aforesaid email ID & or mobile number shall be deemed to be due intimation to me/us in full discharge of your obligations as part of services rendered with respect to my/our trading account.

I/ We further undertake that the said declaration shall be valid and shall apply unless and until I/We communicate in writing about any changes therein to you at registered address to The Compliance Officer, NDA Securities Limited, 1002A, Arunachal, 19, Barakhamba Road, New Delhi-110001. I/We hereby undertake to indemnify you and shall keep you indemnified against all losses, damages and actions which may suffer or face as a consequence of you acting on my/ our this request and or my/ our failure to inform you in writing about the change.

Thanking you,

Yours faithfully,

 _____

Signature of Client

Name of Client _____



FATCA & CRS Declaration - Individual

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA/CRS Guidance)

PAN Folio No. (if PAN is not available)

Name Gender ☐ M ☐ F ☐ O

Type of address given at KYC KRA ☐ Residential ☐ Residential or Business ☐ Business

Place of Birth Country of Birth

Nationality

Gross Annual ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac

Income Details ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore
in INR

Net Worth **Amount Rs.**..... Net Worth as on

(Net worth should not be older than 1 year)

Occupational ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector

Detail ☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicates the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country#	Tax Identification Number%	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

To also include USA, where the individual is a citizen/ green card holder of the USA

% In case Tax Identification Number is not available, kindly provide its functional equivalent \$

CERTIFICATION

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

Name

Designation

Client Signature



Date :

Place :

For Investor convenience, NDA Securities Ltd. collecting this mandatory information for updating across all Group Companies of NDA Securities Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest NDA Securities Limited branch or you can dispatch the hard copy to

NDA Securities Ltd.

1002A, Arunachal, 19, Barakhamba Road, New Delhi-110001

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: the Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which Rules require Indian Financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly i.e. within 30 days. It is important that you respond to our request, even if you believe you have already supplied any previously requested information.



FATCA & CRS Declaration - Non-Individual

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA/CRS Guidance)

PAN Trading Code DP Code

Name

Place of Incorporation Country of Incorporation

Address Type ☐ Residential ☐ Business ☐ Residential / Business

Gross Annual ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac

Income ☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ > 1 Crore

Net Worth Amount Rs. Net Worth as on

(Net worth should not be older than 1 year)

Please tick the applicable tax resident declaration -

I. 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 purposes and the associated Tax ID number below.)

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

In case Tax Identification Number is not available, kindly provide its functional equivalent.

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

I. We are a, Financial institution ☐ (Refer 1 Part of C) or Direct reporting NFE ☐ (Refer 3(vii) Part of C) (please tick as appropriate)	GIIN 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 Name of sponsoring entity ☐ Applied for ☐ Not obtained – Non-participating FI ☐ Not required to apply for - please specify 2 digits sub-category (Refer 1A Part of C)
GIIN not available (please tick as applicable)	

PART B (please fill any one as appropriate "to be filled by NFEs other than Direct Reporting NFEs")

1. Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2A Part of C)	Yes ☐ No ☐ (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange
2. Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2B of Part C)	Yes ☐ No ☐ (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange
3. Is the Entity an Active NFE ?	Yes ☐ No ☐ Nature of Business Please specify the sub-category code (Refer 2C Part of C)
4. Is the Entity a Passive NFE ? (Refer 3(ii) Part of C)	Yes ☐ No ☐ Nature of Business

UBO Declaration (Mandatory for all entities except, a Publicly Traded Company or a related entity of Publicly Traded Company)

Category (Please tick applicable category): ☐ Unlisted Company ☐ Partnership Firm ☐ Limited Liability Partnership Company
☐ Unincorporated association / body of individuals ☐ Public Charitable Trust ☐ Religious Trust ☐ Private Trust
☐ Others (please specify)

Please list below the details of controlling person(s), confirming ALL countries of tax residency / permanent residency / citizenship and ALL Tax Identification Numbers for EACH controlling person(s). (Please attach additional sheets if necessary)

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) Part of C)

Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) Part of C)			
Country of Tax residency*			
PAN #			
Address	Zip State: _____ Country: _____	Zip State: _____ Country: _____	Zip State: _____ Country: _____
Address Type	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office	☐ Residence ☐ Business ☐ Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____	☐ Service ☐ Business ☐ Others _____
Nationality			
Father's Name			
Gender	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others	☐ Male ☐ Female ☐ Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) [§]			

* To include US, where controlling person is a US citizen or green card holder

[§] If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

[§] In case Tax Identification Number is not available, kindly provide functional equivalent

[§] Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

CERTIFICATION

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

Name

Designation

Client Signature



Date :

Place :

For Investor convenience, NDA Securities Ltd. collecting this mandatory information for updating across all Group Companies of NDA Securities Ltd. whether you are already an investor or would become an investor in future.

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest NDA Securities Limited branch or you can dispatch the hard copy to

NDA Securities Ltd.

1002A, Arunachal, 19, Barakhamba Road, New Delhi-110001

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: the Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income Tax Rules, 1962, which Rules require Indian Financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in any information provided by you, please ensure you advise us promptly i.e with in 30 days. It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

DECLARATION BY SALES PERSON/SUB-BROKER/AUTHORISED PERSON (for the use of NDA only)

Dated.....

To,
NDA Securities Limited
1002A, Arunachal, 19, Barakhamba Road,
New Delhi-110001

Dear Sir,

This is in reference To the trading account under consideration In the name of
R/o..... I declare that I
have met the above captioned person personally & have verified copy/of under mentioned **KYC** documents
with original, which is enclosed with account opening form & I also confirm that client has signed at the
designated places in this form in his/her own hand in my presence.

The following KYC documents are checked and verified form the original documents:

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____

Date : _____

The above statement is true and correct and made under my own free mind without having any coercion,
misrepresentation or fraud.

Name of the Person / Sub Broker / Authorised Person / Remisier _____

Signature: ⊗ _____

Employee / Branch Code ;

For office use :

Name of Officials

Remark :



NDA SECURITIES LTD.

KYC ACCOUNT OPENING DETAILS

Date	Particulars	Name	Signatures
	KYC Received		
	Documents & KYC Checked		
	Entry in Back Office		
	Brokerage and Grouping		
	Uploading of UCC in Exchange		
	Verification of Uploading in Exchange		
	Mapping in CTCL Terminal		
	Telephonic Confirmation of Particulars Done		
	Despatch of Welcome Letter		
	Final Verification		

Please Tick in the relevant boxes where client will to trade

NSE - CM	NSE - F&O	NSE-CD	BSE - CM	BSE - F&O	MSEI - CM	MSEI-F&O	MSEI-CD
					NA	NA	NA

(Signature of Compliance Officer)

Format of Board Resolution on Letter Head of the Company

Certified True Copy of the Resolution passed by the board of Directors of (Name of the Company) in there meeting held on date at (Place).

Resolved that the consent of the Board of Director of the company be and is hereby accorded for making an application to NDA Securities Ltd. For becoming their client for trading in NSE/MSEI Capital Market, Future and Option & Currency Derivative Segments and BSE Capital Market and Future and Option Segments.

Further resolved that Sh _____ and Sh _____ Director/Authorised Signatory of the company be and is/are hereby authorized on behalf of the company to sign and execute any application form, deeds, documents or other paper for opening such account and to deal with NDA Securities Ltd and to buy and sell such Shares/Securities/Bonds/ or other Marketable Securities as they deem fit and to do all such acts, deeds and things as may be required in the course of such dealing with NDA Securities Ltd.

For and on behalf of the Board of Director

Name of the Authorized Signatory	
Designation	
Specimen Signature	Signature of specimen without stamp
Signature Attested	Signature of Director with stamp

GENERAL INSTRUCTION

1. Please fill all the details in CAPITAL letters and with a black/blue ball point pen.
2. Please put full signature at places marked as  wherever applicable.
3. The client should authenticate any correction/alteration in the registration Form. Do not use whitener or correction fluid.
4. Name of the client should be same at all the places in the Form
5. Please paste(not staple) a passport size photograph on the space provided. Also provide separate photographs(s) for each holder/ partner/key management personnel.
6. PIN code is compulsory in the address details. Complete mobile and telephone no. should be mentioned with the STD/ISD Codes.
7. **MICR number / NEFT detail should be filled on the Form clearly alongwith documentary evidence.**
8. The name of the Client on the Form must exactly match with the name as appearing on the Income Tax Website. The link for the same is <http://incometaxindiaefiling.gov.in/challan/enterpanforchallan.isp>
9. Witness column should be filled in clearly & legibly. Signature of witness(es) is mandatory and should be there on all required places on the Form.
10. **Original documents will be required for verification at the time of submission of the form. All documents submitted should be valid and needs to be self attested by the client.**
11. Clients E-mail ID must be clearly specified, in case of family e-mail id is used please fill declaration form at page no. 33.
12. PAN Card must be accompanied with any of the below mentioned document if photo on PAN Card is not visible.
i) Passport ii) Voter ID Card iii) Driving License iv) Aadhaar Card (Mandatory)
13. If any information required does not fit in the Form, separate sheets may be used.
14. Each clients has to use one registration form. In case of joint names/ family members, please submit separate forms for each person.
15. Information provided shall be kept confidential and the same shall not be disclosed to any person / entity except as required under law.
16. No documents other than those mentioned in the form shall be taken as proof of ID or address.
17. PAN No. is mandatory for all transactions.
18. Internet Trading in NSE CM, NSE F&O, NSE CD, BSE CM, BSE F&O.



OUR SERVICES

- ★ EQUITY ★ CURRENCY ★ DEPOSITORY SERVICES
- ★ IPO ★ MUTUAL FUNDS ★ COMMODITY
- ★ ONLINE TRADING



NDA Securities Limited

(CIN : L74899DL1992PLC050366)

**Member : National Stock Exchange of India Ltd.
Bombay Stock Exchange Ltd.
Metropolitan Stock Exchange of India Ltd.
National Securities Depository Ltd.**

SEBI Regn. No.: INB-230643830/INF-230643830/INB-010643832/INF-010643832/INB-260643839/INF-260643839/INE-260643830/IN-DP-NSDL-3132009

NDA Commodity Brokers Pvt. Ltd.

Member : National Commodity & Derivative Exchange, Multi Commodity Exchange

FMC Regn.: NCDEX/TCM/CORP/0312 & MCX/TCM/CORP/0527 • SEBI Regn. No.: INZ000035638

Regd. & Corp. Office :

1002A, Arunachal, 19, Barakhamba Road, New Delhi-110 001

Phones : 011-23712751, 23717551, 23713696, 46204000 (30 Lines) Fax : 011-23731210

Web : www.ndaindia.com E-mail : info@ndaindia.com, investorcell@ndaindia.com

Equity Research Division

MF & IPO Division

E-157 1st Floor, Kalkaji, New Delhi-110019, Phones : 011-47152200 (30 Lines), Fax : 011-47152233, 26284063

Email : dp@ndaindia.com, mutualfund@ndaindia.com

Mumbai Office

40, 3rd Floor, Prospects Chamber Annexe, Dr. D.N. Road, Fort, Mumbai-400001, Phones : 022-22834099, 22851387



G.G. # 9891327352

We make investment easier

ACKNOWLEDGEMENT

To,

NDA Securities Limited

1002A, Arunachal, 19, Barakhamba Road,
New Delhi-110001

Dear Sir,

I/We hereby acknowledge the receipt of Right and Obligations, Risk Disclosure Document (RDD), Guidance Note, Policies and Procedures with duly executed copy of KYC and other documents. Further I/We confirm that the supporting documents for KYC submitted by me/us are true and correct. I/We acknowledge that the other details related to my/our account are as under:

Name..... Address.....

.....

Trading Code (UCC)..... My Email Id.....



Client Signature