PATNERSHIP FIRM

1. FIRM PAN CARD

2. BANK STATEMENT ADD. PROOF WITH BANK SEAL

3.CANCELLED CHEQUE COPY

4.PATNERSHIP DEED

5.LAST 2 YEAR BALANCE SHEET

6.REGITRATION CERTIFICATE OF PATNERSHIP FIRM

7.LIST OF PATNER (ON LETTER HEAD)

8.DECLARATION PRINT ON LETTER HEAD

9. RESOLUTION OF DP (ON LETTER HEAD)

10. PIN NO. – PARTNERS IDENTIFICATION NUMBER

11. ALL PATNER INDIVIDUALS KYC WITH PAN CARD AND ADD. PROOF

(ALL DOCUMENTS SELF ATTESTED BY CLIENT }

REGISTRATION KIT

CLIENT CODE :
RI NO. :
SEGMENT:

An Assurance of

Trust and EXCELLENCE



INDIRA
Gateway to Prosperity

INDIRA SECURITIES PVT. LTD.

CKYC		KRA	
REF No.	Date	REF No.	Date

CKYC & KRA KYC Form

Know Your Client Application Form (For Individuals only)
(Please fill the form in English and in BLOCK Letters)
Fields marked with '*' are mandatory fields

Application Type* ☐ New ☐ Update KYC Number*

KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

1. Identity Details (Please refer instruction **A** at the end)

PAN

Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

Photo

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others – Country _____ 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

Signature/ Thumb Impression

2 ☑ _____

2. Proof of Identity (PoI)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

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

☐ A- Passport Number — Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ D- Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

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

3. Proof of Address (PoA)*

☐ 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Address

Line 1*

Line 2

Line 3 — City / Town / Village*

District* — Zip / Post Code* — State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* — Country* — Country Code as per ISO 3166

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

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

Proof of Address*

☐ Passport Number — Passport Expiry Date D D – M M – Y Y Y Y

☐ Voter ID Card

☐ Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ Aadhaar Card

☐ NREGA Job Card

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

☐ 3.2 Correspondence / Local Address Details* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Line 1*

Line 2

Line 3 — City / Town / Village*

District* — Zip / Post Code* — State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* — Country* — Country Code as per ISO 3166

INDIRA
Gateway to Prosperity

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

Mobile Tel. (Off) Tel. (Res)

Email ID

5. Specify the proof of address submitted for permanent address Please Tick (✓)

☐ Passport ☐ Ration Card ☐ Registratered Lease / Sale Agreement of Residence

☐ Driving License ☐ Voter Identity Card

☐ Latest Bank A/c. Statement / Passbook ☐ *Latest Telephone Bill (only Land Line)

☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others

***Not more than 3 Months old. Validity / Expire date of proof of address submitted**

d d / m m / y y y y

6. Details of Related Person (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

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

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

☐ Proof of Identity [PoI] of Related Person* (Please see instruction (**H**) at the end)

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

☐ A- Passport Number Passport Expiry Date d d – m m – y y y y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date d d – m m – y y y y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) 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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: d d – m m – y y y y Place:

[Signature / Thumb Impression]

3 ☑ _____

Signature / Thumb Impression of Applicant

9. Attestation / For Office Use Only

Documents Received ☐ Certified Copies

1100017000

KYC Verification Carried Out by *(Refer Instruction I)*

Date d d – m m – y y y y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

In-Person Verification (IPV) Carried Out by *(Refer Instruction J)*

Date d d – m m – y y y y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name INDIRA SECURITIESPRIVATE LIMITED

Code I N 1 8 7 4

Emp. Branch

Indira Securities Private Limited Indore (M.P.)

N

Know Your Client (KYC)
Application Form (For Non-Individuals Only)

Please fill in ENGLISH and in BLOCK LETTERS with Black Ink

Application No.:

A. Identity Details (Please See Uidelines overleaf)

1. Name of Applicant (please write complte name as per Certificate of incorporation / Registration, leaving one box blank between 2 words, please do not abbreieviate

1. ☑ _____

PHOTOGRAPH

Please affix the recent passport Wsize photograph and sign across it

2. Date of Incorporation d d / m m / y y y y

Place of Incorporation

3. Date of commencement of the business

4. A. Permanent Account Number (PAN) MANDATORY

Please enclose a duly attested copy of your PAN Card

B. Registration No. (e.g. CIN)

5. Status Please tick (✓) ☐ Private Ltd. Co. ☐ Public Ltd. Co. ☐ Body Corporate ☐ Partnership ☐ Trust / Charities / NGOs

☐ FI ☐ FII ☐ HUF ☐ AOP ☐ BANK ☐ Government Body ☐ Non-Government Organisation

☐ Defence Establishment ☐ Body of Individuals ☐ Society ☐ LLP ☐ Others _____

B. Address Details (Please see guidlines overleaf)

1. Residence Address

City/Town/Village Pincode

State Country

2. Contact Details

Tel. (Off.) Tel. (Res.)

Mobile Fax

E-mail ID

3. Specify the proof of address submitted for correspondence address (Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.)

☐ Passport ☐ Ration Card ☐ Registered Lease/Sale Agreement of Residence ☐ Driving License ☐ Voter Identity Card ☐ Latest Bank A/c Statement/Passbook

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others _____

*Not more than 3 Months old. Validity/Expire date of proof of address submitted d d / m m / y y y y

4. Permanent Address (if different from above)

City/Town/Village Pincode

State Country

5. Proof of address submitted for registered address (please submit ANY ONE of the following valid documents & tick (✓) against the document attached.)

☐ *Latest Telephone Bill (only Land Line) ☐ *Latest Electricity Bill ☐ *Latest Bank A/c Statement ☐ Registered Lease / Sale Agreement of Office Premises

☐ Any other proof of address document (as listed overleaf) (please specify) _____

*Not more than 3 Months old. **Validity/Expire date of proof of address submitted** d d / m m / y y y y

DECLARATION

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

Place : _____

Date d d / m m / y y y y

Name & Signature (s) of Authorised Signatory (s)

2. ☑ _____

FOR OFFICE USE ONLY

☐ Originals Verified Self Certified Document copies received

☐ Self attested true copies of documents received

IPV Done ☐ on Date d d / m m / y y y y

_____

(Name & Signature of the Auth. Signatory)

Seal/Stamp of the intermediary

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

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

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

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

Types of entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	• 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.

Details of Promoters / Partners / Karta / Trustees and whole time directors forming a part of know your client (KYC) Application Form for Non-Individuals

Name of Applicant _____ PAN of the Applicant ☐☐☐☐☐☐☐☐☐☐

Sr. No.	PAN	NAME	DN (For Directors) / UID (for Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters. whole time directors etc)	Whether Politically Exposed	Photograph
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ NO	
						☐ PEP ☐ RPEP ☐ No	
						☐ PEP ☐ RPEP ☐ NO	

3. ☑_____

Name & Signature of the Authorised Signatory(ies) Date d d / m m / y y y y

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

INDIRA
Gateway to Prosperity

Annexure - 1
ACCOUNT OPENING KIT

INDEX			
S.No.	**Name of the Document**	**Brief Significance of the Document**	**Page No.**
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	02
2	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list. Document captures the additional information about the constituent relevant to trading account and an instruction/check list. Additional information as per CDSL Communique.	03-11
		FATCA Declaration	28
3	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).	Details sent on client's E-mail Id
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities/ Commodities market.	
5	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker.	
7	Terms and Conditions for availing transaction Using Secured Texting (TRUST) Service Offered by CDSL		
8	Basic Information about AML Measures For General Guidance of Clients		
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
9	Voluntary Document - 1	Documents showing voluntary consents for smoother operational conveniences of trading account which can be revoked at any point of time.	26-27
10	Request for Trading Application	Segment wise Request for Trading Applications such as IBT/WT	27
11	Voluntary Document - 2	1. Documents showing voluntary clauses for running account maintenance, 2. Form for registration and verification of Mobile No. and Email	28-29
12	Acknowledgment	Acknowledgment of KYC & Rights & Obligation Document	29

Membership No., SEBI Registration No. & Date : **CIN - U67120MH1996PTC160201**

Exchange	Membership No.	SEBI Registration No. & Date
NSE	12866	INZ000188930 / 01.08.2018
BSE	663	INZ000188930 / 01.08.2018
CDSL	17000	IN - DP - CDSL - 90 - 2015 / 03.07.2015
MCX	56470	INZ000188930 / 01.08.2018
NCDEX	01277	INZ000188930 / 01.08.2018

Clearing Member for Currency Derivatives: ICICI Bank Limited (M. No. 4). **GSTIN : 23AADCI2772F1ZW**
Registered office address: **"Indira House" 5 Topiwala Lane, Lamington Road, Grant Road (East), Mumbai - 400007**
Phone : **022-66224202-204** Fax : **022-66224200** Website: **www.indiratrade.com**
Correspondence office address : **204,205, Amardarshan Building, 28/2 Old Palasia, Indore - 452018 (M.P)**
Phone : **0731-4797170-71-72-73** Fax : **0731-2562117** Website: **www.indiratrade.com**
Compliance officer name, Phone No. & email id : **Jyoti Singh - 0731-4797151 compliance@indiratrade.com**
Director Name, Phone No. & email id : **Sanjay C. Baxi - 022-66224220 sanjaybaxi@yahoo.co.in**

Join us on

INDIRA
Gateway to Prosperity

Client Code	
Recommended by Signature	
Approved by Signature	
A/c. Opened by Signature	
Date	

TARIFF SHEET :			
Segment	**Brokerage Type**	**% Age**	**Minimum**
Capital Market NSE/BSE	Delivery Based		
	Square Up		
Equity Derivatives NSE/BSE	Future		
	Option		
Currency Derivatives NSE/BSE	Future		
	Option		
MCX	Future		
	Option		
NCDEX	Future		
	Option		

Notes :
(1) Brokerage will be charged within the limits prescribed by SEBI/Exchanges .
(2) Brokerage will be charged on per share basis, rounded off to nearest 2 to 4 decimal points as per back office software of the stock broker and then multiplied with the total number of shares, in order to calculate total brokerage per transaction payable by the client.
(3) Apart from Brokerage as agreed with you and as disclosed hereinabove, various other statutory levies at actual from time to time, such as GST on brokerage value, Securities Transaction Tax* (as per applicable regulations). For e.g. on delivery based transactions STT@0.100% on transaction value buy & sell both, shall apply. GST, Sebi Fee and STT, both are Government levies and are subject to change from time to time.
(4) On option segment of Exchange, it is hereby disclosed that brokerage shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.
(5) Other Taxes and Statutory Levies as prescribed by Government and regulatory authorities would be applicable. Such taxes and statutory levies are charged as applicable from time to time.
(6) Apart from above, delayed payment charges as per Policy & Procedures under mandatory documents forming part of KYC documents would also apply.
(7) Indira Securities Pvt. Ltd. reserves the right to revise the brokerage structure, by publishing / displaying the same on its website www.indiratrade.com *Conditions apply

DEMAT TARIFF SCHEDULE			
SCHEMES	**AMC Based**	On Sale Through POA	0.010% (Min Rs. 10)
Legal Documentation Charges	Nil	KRA Charges	Rs. 40/-Per Pan No.
Power of Attorney	Rs 130/-	Demat Charges	Rs. 5/- Per Certificate + Rs.35/- Courier Charge for per DRN.
Individual & HUF AMC	Rs 400/-	Remat Charges	Rs 50/- Per RRN
Corporate	Rs 1200/-	Pledge Creation	Rs 50/- Per PSN. or 0.02% Whichever is higher
Transaction	Rs 20/- or 0.020% or Negotiable	Pledge Closure	Rs 50/- Per Closure
On Purchase	NIL	Book Charges	Rs 20/-
Pledge creation & closure confirmation	NIL	Fail Instruction charges	Rs. 25/- Per Instruction
Special Scheme - Deposit Rs. 3000/- (Refundable at the time of closing of A/c.) for life time AMC.			

1. Fees Schedule are based on existing CDSL charges and may be changed at our discretion & will be informed before 30 days of implementation. 2. DRF would be accepted against up front payment. 3. Rejection of DRF will be charged at Rs. 35 of Registry only. 4. Service Tax and other levis would be extra as applicable.

Demat Schemes (AMC):	**Standard** ☐ **/ Other** ☐ **/ Rs. 3000** ☐ **/ Rs. 1500** ☐ **/ BSDA** ☐	
Account Opening Fee:	**Standard** ☐ **/ Other** ☐	
A/c Type:	**Direct** ☐ **/ Auth. Person** ☐	
RM/REM Code		**RM Name**

1 ☑ _____

Date: _____
(dd / mm/ yy)

CKYC & KRA KYC Form

Know Your Client Application Form (For Individuals only)
(Please fill the form in English and in BLOCK Letters)
Fields marked with '*' are mandatory fields

Application Type* ☐ New ☐ Update KYC Number*

KYC Type* ☐ Normal (PAN is mandatory) ☐ PAN Exempt Investors (Refer instruction K)

1. Identity Details (Please refer instruction **A** at the end)

PAN

Please enclose a duly attested copy of your PAN Card

	Prefix	First Name	Middle Name	Last Name
Name* (same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

Photo

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

Citizenship* ☐ IN- Indian ☐ Others – Country _____ 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

Signature/ Thumb Impression

2 ☑ _____

2. Proof of Identity (PoI)* (for PAN exempt Investor or if PAN card copy not provided) (Please refer instruction C & K at the end)

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

☐ A- Passport Number — Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ D- Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

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

3. Proof of Address (PoA)*

☐ 3.1 Current / Permanent / Overseas Address Details (Please see instruction D at the end)

Address

Line 1*

Line 2

Line 3 — City / Town / Village*

District* — Zip / Post Code* — State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* — Country* — Country Code as per ISO 3166

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

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

Proof of Address*

☐ Passport Number — Passport Expiry Date D D – M M – Y Y Y Y

☐ Voter ID Card

☐ Driving Licence — Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ Aadhaar Card

☐ NREGA Job Card

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

☐ 3.2 Correspondence / Local Address Details* (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1', Submit relevant documentary proof)

Line 1*

Line 2

Line 3 — City / Town / Village*

District* — Zip / Post Code* — State/UT Code as per Indian Motor Vehicle Act, 1988

State/UT* — Country* — Country Code as per ISO 3166

INDIRA
Gateway to Prosperity

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

Mobile Tel. (Off) Tel. (Res)

Email ID

5. Specify the proof of address submitted for permanent address Please Tick (✓)

☐ Passport ☐ Ration Card ☐ Registratered Lease / Sale Agreement of Residence

☐ Driving License ☐ Voter Identity Card

☐ Latest Bank A/c. Statement / Passbook ☐ *Latest Telephone Bill (only Land Line)

☐ *Latest Electricity Bill ☐ *Latest Gas Bill ☐ Others

***Not more than 3 Months old. Validity / Expire date of proof of address submitted**

d d / m m / y y y y

6. Details of Related Person (Optional) (please refer instruction G at the end) (in case of additional related persons, please fill 'Annexure B1')

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

Related Person Type* ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

☐ Proof of Identity [PoI] of Related Person* (Please see instruction (**H**) at the end)

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

☐ A- Passport Number Passport Expiry Date d d – m m – y y y y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date d d – m m – y y y y

☐ E- Aadhaar Card

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government) 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 declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date: d d – m m – y y y y Place:

[Signature / Thumb Impression]

3 ☑ _____

Signature / Thumb Impression of Applicant

9. Attestation / For Office Use Only

Documents Received ☐ Certified Copies

1100017000

KYC Verification Carried Out by *(Refer Instruction I)*

Date d d – m m – y y y y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

In-Person Verification (IPV) Carried Out by *(Refer Instruction J)*

Date d d – m m – y y y y

Emp. Name

Emp. Code

Emp. Designation

[Employee Signature]

Institution Details

Name INDIRA SECURITIESPRIVATE LIMITED

Code I N 1 8 7 4

Emp. Branch

Indira Securities Private Limited Indore (M.P.)

INDIRA
Gateway to Prosperity

Instructions/Guidelines for filling Individual KYC Application Form

General Instructions:

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

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

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

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

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

C. Clarification / Guidelines on filling 'Proof of Identity [PoI]' section, if PAN Card copy is not enclosed/For PAN exempt Inve**stors**

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
3. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.
4. Letter issued by a gazetted officer, with a duly attested photograph of the person.

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

1. PoA to be submitted only if the submitted 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. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'
3. Others includes – Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

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

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

1. Provide KYC number of related person if available.

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

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

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

1. Authorised officials of Asset Management Companies (AMC).
2. Authorised officials of Registrar & Transfer Agent (R&T) acting on behalf of the AMC.
3. KYD compliant mutual fund distributors.
4. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.
6. Government authorised officials who are empowered to issue Apostille Certificates.

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

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

K. PAN Exempt Investor Category

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.

INDIRA
Gateway to Prosperity

ANNEXURE - 3
TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-individuals

A. BANK ACCOUNT(S) DETAILS

Bank Name																															
Branch Address																															
											CITY													PIN							
Bank Account No.																															

Type:		Saving		Current		Other-In case of NRI/NRE/NRO (specify)																											
MICR Number																IFSC Code															

B. DEPOSITORY ACCOUNT (S) DETAILS

Depository Participant Name			INDIRA SECURITIES PRIVATE LIMITED																												
Depository Name	NSDL															CDSL															
Beneficiary Name																															
DP ID	I	N																													
Beneficiary ID (BO ID)	1	2	0	1	7	0	0	0																							

C. OTHER DETAILS (PLEASE SEE GUIDLINES OVERLEAF)

1. **Occupation** (Please tick (✓) any one and give brief details) : _____
   ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist
   ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify)
2. **Name, PAN, DIN/UID, residential address and photographs of Promoters / Partners/Karta/Trustees/whole time directors** (Please use the Annexure to fill in the details)
3. **Is the entity involved/providing any of the following services** ☐ YES ☐ NO
   - For Foreign Exchange / Money Changer Services ☐ YES ☐ NO - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO - Money Lending / Pawning ☐ YES ☐ NO
4. **Please tick, if applicable :** ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person
   For definition of PEP, please refer guidelines.
5. **GST NO.** _____ **Any other information:** _____

D. TRADING PREFERENCES

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

S. No.	Name of the National Stock Exchanges#	Date of Consent for trading on concerned Exchange	Segmentwise Signature of the Client	Consent for all Segment
1.	CDSL - DEMAT A/C		☑	
2.	NSE CASH		☑	
3.	NSE F&O		☑	
4.	NSE CDS		☑	4 ☑ _____
5.	NSE SLBM		☑	
6.	BSE CASH		☑	**(Please Sign here if you wish to select all segments)**
7.	BSE F&O		☑	
8.	BSE CDS		☑	
9.	MCX		☑	**Date:_____/_____/_____**
10.	NCDEX		☑	

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

E. PAST ACTIONS

- Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years: ☐ YES ☐ NO

_____

_____

F. DEALING THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name	
SEBI Registration No.	
Registered office address	
Phone	Fax
Website	

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

Name of stock broker	
Name of Sub Broker, if any:	
Client Code	Exchange
Details of disputes/dues pending from/to such stock broker/sub-broker: _____	

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

H. INTRODUCER DETAILS (optional)

Name of the Introducer	

(Surname) (Name) (Middle Name)

Status of the Introducer : Sub-broker=Remeshire/Authorized Person/Existing Client/Others, Please specify _____	
Address & Phone No. of the Introducer	
AP REG No.	Date

Signature of the Introducer

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

S.No.	Name of the Authorized signatories /Promoters / Partners / Karta/ Trustees /Whole Time Directors	Relation with the holder (i.e. promoters, whole time directors etc	Please tick the relevant option.
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP
			☐ PEP ☐ RPEP

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

INDIRA
Gateway to Prosperity

Annexure 2.1 & 2.2
Additional KYC Form Opening a Demat Account

For Individuals & Non Individuals

To be filled by the Depository Participant

Application No.																		Date								
DP Internal Reference No.																										
DP ID	1	2	0	1	7	0	0	0									Client ID									

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

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

HOLDERS DETAILS

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

Name																										

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

Type of Account (Please tick whichever is applicable)

Status	Sub - Status	
☐ Individual	☐ Individual Resident	☐ Individual - Director
	☐ Individual Director's Relative	☐ Individual HUF / AOP
	☐ Individual Promoter	☐ Minor
	☐ Individual Margin Trading A/C (MANTERA)	☐ Others (specify) _____
☐ NRI	☐ NRI Repatriable	☐ NRI Non-Repatriable
	☐ NRI Repatriable Promoter	☐ NRI Non=Repartiable Promoter
	☐ NRId - Depository Receipts	☐ Others (specify) _____
☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipts ☐ Others (specify) ____	

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

Guardian's Name		PAN	
Relationship with the applicant			

I/We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement as the email ID _____	☐ Yes ☐ No
I/we wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No

Status							Sub - Status
☐ Body Corporate	☐ Banks	☐ Trust	☐ Mutual Fund	☐ OBC	☐ FII		**To be filled by the DP**
☐ CM	☐ FI	☐ Clearing House		☐ Other (specify)			

SEBI Registration No. (If Applicable)		SEBI Registration date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)		RBI Approval date	D	D	M	M	Y	Y	Y	Y
Nationality	☐ Indian ☐ Other (specify) _____									

CLEARING MEMBER DETAILS (To be filled by CMS only)

Name of Stock Exchange	NSE	BSE	MCX	NCDEX
Name of CC/CH	INDIRA SECURITIES PRIVATE LIMITED			
Clearing Member Id	M50595	663	56470	
Trading Member Id	12866	663	56470	

I / We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end **(If not marked, the default option would be 'No')**	☐ Yes ☐ No
I / We would like to share the email ID with the RTA	☐ Yes ☐ No
I / We would like to receive the Annual Report in Physical / Electronic / Both Physical and electronic mode. **(Tick the applicable box. if not marked the default option would be in physical)**	☐ Physical ☐ Electronic ☐ Both Physical & Elecronic

1. Gross Annual Income Details (Please tick (✓) :
☐ Below 1 Lac ☐ 1 - 5 Lacs ☐ 5 - 10 Lacs ☐ 10 - 25 Lacs ☐ 25 - 100 Lacs ☐ > 100 Lacs
Net-worth in ₹ (*Net worth should not be older than 1 year)
as on (date) d d / m m / y y y y

SMS Alert Facility Refer to Terms & Conditions given as **Annexure - 2.4**	**MOBILE No. +91_ _ _ _ _ _ _ _ _ _ _ _** **Refer to terms & conditions given as Annexure 2.4** [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
Transactions Using Secured Texting Facility **(TRUST).** Refer to Terms and Conditions **Annexure – 2.6** **(Sent on your E-mail)**	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We with to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
NSE / BSE	Indira Securities Pvt. Ltd.	M50595 / 663
MCX / NCDEX	Indira Securities Pvt. Ltd.	56470 /

easi	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

I. NOMINATION DETAILS

FORM 10

FORM FOR NOMINATION/ CANCELLATION OF NOMINATION

(To be filled in by individual applying singly or jointly)

DP ID									Client ID																

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

☐ I / We wish to cancel the nomination made by me/ us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me / us in the said account shall vest in me/ us. [Strike off the nomination details below]

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities / Amount held in the Depository Trading A/c. by me / us in the said beneficiary owner account in the event of my / our death.

	Nomination can be made upto three nominees in the account.	**Details of 1st Nominee**	**Details of 2nd Nominee**	**Details of 3rd Nominee**
1	**Name of the nominee(s) (Mr./Ms.)**			
2	**Share of each Nominee** Equally [If not equally, please specify percentage] ☐	%	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
3	**Relationship with the Applicant (If any)**			
4	**PAN of Nominee(s)** (Mandatory in trading a/c)			
5	**DOB of Nominee(s)** (Mandatory in trading a/c)			
6	**Address of Nominee(s)** PIN Code			
7	**Mobile/Telephone no. of nominee**			
8	**Email ID of Nominee**			
9	**Nominee Identification details –** [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhar No. ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID * Please submit ID proof	Signature / Thumb Impression	Signature / Thumb Impression	Signature / Thumb Impression
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:				
10	**Date of Birth {in case of minor nominee(s)}**			
11	**Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }**			
12	**Address of Guardian(s)** PIN Code			
13	**Mobile/Telephone no. of Guardian**			
14	**Email ID of Guardian**			
15	**Relationship of Guardian with nominee**			
16	**Guardian Identification details –** [Please tick any one of following and provide details of same] ☐ Photograph & Signature ☐ PAN ☐ Aadhaar ☐ Saving Bank account no. ☐ Proof of Identity ☐ Demat Account ID			

	Name(s) of holder(s)	**Signature(s) of holder**
Sole/ First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)		5 ☑ _____
Second Holder (Mr./Ms.)		☑ _____
Third Holder (Mr./Ms.)		☑ _____

Signature of Witness for Nomination

Name of the Witness	Address	Signature of witness
		Date D D M M Y Y Y Y

DECLARATION

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

	First/Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			
Signature	6 ☑ _____		

Place: _____ **Date :** | | | | | | | | |

FOR OFFICIAL USE

UCC Code allotted to the Client:																										

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

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

For: **Indira Securities Pvt. Ltd.**

Signature of the Authorised Signatory

Indira Securities Private Limited Indore (M.P.)

Date | | | | | | | | |

INSTRUCTIONS/ CHECK LIST

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

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

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

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

To,

Indira Securities Private Limited

204,205, Amardarshan Building, 28/2 Old Palasia, Indore - 452018 (M.P)

DP ID12017000

Subject: - Request Regarding BSDA Flag for Demat Account.

Dear Sir,

I / We do not wish to avail Basic Service Demat Account scheme and I / We want to open/exist our/my account as per the normal account chargeable as per the tariff plan opted by me / us at the time of account opening/new account opened.

I / We am aware that till any further instruction from my / our side; my/our demat account will not be moved to BSDA account.

Thanking You.

7 ☑ _____

Yours Faithfully,

Name:

Demat Account:

Pan No:

APPENDIX - A
Electronic Contract Note [ECN] - DECLARATION
(VOLUNTARY)

To,

Indira Securities Private Limited

Dear Sir,

I, _____ a client with Member

M/s. **Indira Securiities Private Limited** of **NSE / BSE / MCX / NCDEX** undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- This declaration is valid till 31st March _____ (y y y y).

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

  (The above lines must be reproduced in own handwriting of the client.)

  _____

  _____

Client Name: _____

Unique Client Code:. _____

PAN:_____

Address:_____

_____

_____

Verification of the client signature done by,

Name of the designated officer of the Member

Signature of the client 8 .....

Signature _____

Date:

Date : _____

Place:

(dd/mm/yy)

Instructions:

- This declaration form has to be sent by the Member to the client on the email id provided by client while opening the trading account.
- The client shall, on receipt of this email, print the email as well as the declaration form.
- The hard copy of the declaration shall be filled up by the client and submitted to the Member along with a signed hard copy of the email. The Member shall acknowledge the receipt of the declaration from the client.
- The size of the font of this declaration must be at least 12.

DECLARATION

We hereby declare that we all are family members and use the same mobile number (.....) and Email id (.....) in our Demat / Trading Account. We have no objection to use the same mobile number / Email Id. This declaration is being submitted to Indira Securities Pvt. Ltd. As per their compliance norms.

S.No.	Family Member's Name	Demat A/c No.	Trading A/c No.	Relation	Signature

The information given above is true to the best of our knowledge.

Date: Place:

Client Declaration Cum Undertaking Regarding Open Interest Positions

To, Date:
Indira Securities Private Limited
5 Indira House, Topiwala Lane, Lemington Road, Grant Road (East) , Mumbai-400007

Dear Sir,

Subject: My/Our request for trading in commodity forward contracts / commodity derivatives on MCX / NCDEX as your client.

I/We, the undersigned, have taken cognizance of circulars issued by NCDEX/ MCX / SEBI on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by NCDEX / MCX / SEBI and such position limits will be calculated in accordance with the contents of above stated circulars modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/ companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative through you or through any other member(s) of NCDEX / MCX to enable you to restrict our position limit as prescribed by the above referred circulars modified from time to time.

I/We confirm that you have agreed to enter orders in Commodity forward contracts/commodity derivatives for me/us as your clients only on the basis of our above assurances and undertaking.

Yours faithfully,

I/we undertake that I / we will always fulfill/ deposit the margin required against my outstanding position. I / we further undertake that I/ we will always keep track of online mark to market losses and/ or any Margin of my trades. In case if mark to market loss crosses 70% of the margin I/ we will immediately deposit the sufficient fund through RTGS to cover the accrued mark to market loss and/ or additional Margins imposed by Stock Broker. In case I /we failed to deposit the required fund in time, you may square off my positions at your discretion without any Notice.

Date: _____
(dd / mm/ yy)

9 ☑ _____

MANDATE FORM

AXIS BANK **UMRN** **Date**

Tick (✓) | **Sponsor Bank Code** UTIBOOOO248 | **Utility Code** NACH00000000022062

CREATE / MODIFY / CANCEL | **I/We hereby authorize** **Indira Securities Pvt Ltd** **to debit (tick ✓)** SB / CA / CC / SB-NRE / SB-NRO / Other

Bank a/c number

with Bank | **IFSC** | **or MICR**

an amount of Rupees Fifty Thousand Only | 50,000/-

FREQUENCY ☒ Mthly ☒ Qtly ☒ H-Yrly ☒ Yrly ☑ As & When presented **DEBIT TYPE** ☒ Fixed Amount ☑ Maximum Amount

Client ID | **Phone No.**

DP ID | **Email ID**

PERIOD

"I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank."

From

To

Or ☑ **Until Cancelled**

10 ☑

1. _____ 2. _____ 3. _____

This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me. I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/Corporate or the bank where I have authorized the debit.

MANDATE FORM

NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM

UMRN **Date**

Tick (✓) | **Sponsor Bank Code** | **Utility Code**

CREATE / MODIFY / CANCEL | **I/We hereby authorize** **BSE Limited** **to debit (tick ✓)** SB / CA / CC / SB-NRE / SB-NRO / Other

Bank a/c number

with Bank | **IFSC** | **or MICR**

an amount of Rupees One Lac Only | 1,00,000/-

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☑ As & When presented **DEBIT TYPE** ☐ Fixed Amount ☑ Maximum Amount

Client ID | **Phone No.**

DP ID | **Email ID**

PERIOD

"I agree for the debit of mandate processing charges by the bank whom I am authorizing to debit my account as per latest schedule of charges of the bank."

From

To

Or ☑ **Until Cancelled**

11 ☑

1. _____ 2. _____ 3. _____

This is to confirm that the declaration has been carefully read, understood & made by me/us. I am authorizing the user entity/ Corporate to debit my account, based on the instructions as agreed and signed by me. I have understood that I am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request to the User entity/Corporate or the bank where I have authorized the debit.

Acknowledgement and confirmation of account

Respected client,

We have opened your trading account no. _____ on _____ with us in the Segment of NSE/CM/ F&O / BSE/CM/ F&O / CDS / MCX / NCDEX ALL in your name of _____ _____ and your e-mail id address _____ for sending of your digital contract note with other information. We thank you for choosing Indira Group

Indira Securities Private Limited Indore (M.P.)

Date: _____

(dd / mm/ yy)

POWER OF ATTORNERY

To all the whom those presents shall come I / We, _____

_____ (name of the beneficial

owner/s) having its registered office at _____

_____. Send Greetings.

WHEREAS I / We hold beneficial owner account number 12017000 _____ with Central Depository Services (India) Limited (CDSL), through **INDIRA SECURITIES PRIVATE LIMITED** (name of the depository participant) registered with Securities and Exchange Board of India (SEBI)

And Whereas I / We am / are desirous to buy and sell securities through **INDIRA SECURITIES PVT. LTD. (Member of NSE, BSE)** (name of the stock broker (s)) who are a stock broker(s) registered with SEBI and member of recognized stock exchange/s.

And Whereas I / We am / are desirous of appointing **INDIRA SECURITIES PVT. LTD. (Member of NSE, BSE)** (name of the stock broker (s)) as my/our consituted attorney to operate my/our beneficial owner account on my/our behalf for a limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

Now know you all and these presents witness that I / we do hereby nominate, consitute and appoint **INDIRA SECURITIES PVT. LTD. (Member of NSE, BSE)** (name of the stock broker (s)) (hereinafter referred to as "the stock broker(s)") as my true and lawful attorney and authorize if to perform the following functions on my behalf.

i. to transfer sercurities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker(s) demat account nos. NSE Pool A/c. No. 1201700000033598, Early Pay-in-A/c No. 1100001100014521 and Margin A/c. No. DP ID-IN301330 Client ID 20206391 and 20206366 & BSE Pool A/c No. 1201700000004505, Early Pay-in A/c No. 1100001000013135 of the stock broker(s) maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker(s). However, the said poer will be restricted to only transfer of securities to the Clearing Member ID allotted to the stock broker(s) by any existing or future exchange that the stock broker has joined / will join as a member or to any demat accounts linked to the said Clearing Member ID provided that I/we have executed a Client Member Agreement with the stock broker(s) for such exchanges.

ii. to transer funds from my/our aforementioned bank account of the stock broker(s) only in the following circumstences.
    a. for meeeting my/our settlement obligations/margin requirements in connection with the trades executed by me/us the clients on the stock exchange through the stock broker(s);
    b. for recovering any outstanding amount due from me/us arising out of my/our trading activities on the stock exchanges through the stock broker(s) and/or depository activities through the depository participant;
    c. For meeting obligations arising out of my subscribing to such other products/facilities/services through the stock broker(s) like Mutual Funds. Public issues (shares as well as debentures), rights, offer of shares in etc.
    d. Towards monies/fees/charges etc. due to the stock broker(s) payable by virtue of my using / subscribing to any of the facilities / services availed by me at his/her instance.

Signature 12 ☑ _____ ☑ _____ ☑ _____

Sole / First Holder Second Holder Third Holder

iii. to pledge the securities in favour of the stock broker(s) for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker(s).

iv. to return to me/us, the securities or funds that may have been received by the stock broker(s) erroneously or those securities or funds that the stock broker(s) was not entitled to receive from me/us;

v. to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other doucument to be disseminated as specified by SEBI from time to time.

vi. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker(s).

I/we ratify the instructions given by the aforesaid stock broker(s) to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without noice) in witting by me and that the said revocation shall be effactive from the date on which the revocation notice is received by the stock broker(s) in his Regd. Office at Indira House, 3rd Floor, 5- Topiwala Lane, Opp Lamington Road Police Station, Grand Road (East), Mumbai 400007 (Maharashtra)

Signature 13 ☑ _____ ☑ _____ ☑ _____

Sole / First Holder | Second Holder | Third Holder

☑ _____

Signed and delivered
by the within named Beneficial Owner's

Name of BO. _____

Address of BO. _____

_____

_____

_____

In the presence of witness.
by the within named Beneficial Owner's

Name _____

Address _____

_____

_____

_____

We Accept:
INDIRA SECURITIES PVT. LTD.
Indira House, 3Rd Floor, 5-Topiwala Lane,
Opp. Lamington Road, Police Station Grant Road (East)
Mumbai - 400 007 (MAHARASHTRA)

Indira Securities Private Limited Indore (M.P.)

Date: _____
(Name, Address and Signature of the stock broker(s))

Annexure 2.4

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits and for all credits as well.]

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off'' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.

3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.

4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided

in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.

5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

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

Disclaimer:

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

Liability and Indemnity:

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

Amendments:

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

Governing Law and Jurisdiction:

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

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

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time.

I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

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

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service. I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BO ID

1	2	0	1	7	0	0	0									

(Please write your 8 digit DPID) (Please write your 8 digit Client ID

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which
Messages are to be sent

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

The mobile number is registered in the name of: _____

Email ID: _____

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

OPTION FOR ISSUE OF DIS BOOKLET

Please Tick / Select any one option

☐ **Option 1:**

I/We hereby state that I/ We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening my/our CDSL account through I/we have issued a Power of Attorney (POA) / executed PMS Agreement in favor of/with **Indira Securities Private Limited** (name of the Attorney / Clearing Member/ PMS Manager) for executing delivery instruction for setting stock exchanges trades (settlement related transactions) effected through such Clearing Member/ by PMS Manager.

☐ **Option 2:**

I/We do not require the Delivery Instruction Slips (DIS) for the time being, since I /We have issued a POA/ executed PMS agreement in favor of /with **Indira Securities Private Limited** (name of the attorney / Clearing Member / PMS Manager) for executing delivery instructions for setting stock exchange trade (settlement related transaction) effected through such Clearing Member / by PMS Manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

Signature 14 ☑ _____ ☑ _____ ☑ _____

Sole / First Holder Second Holder Third Holder

Place: _____ Date: | | | | | | | | |

VOLUNTARY DOCUMENT NO. 1
[FOR SMOOTHER ACCOUNT OPERATIONS]
To Indira Securities Pvt. Ltd. (Member of NSE, BSE, MCX, NCDEX)

I / WE UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON MANDATORY DOCUMENTS OF MY KYC FORM. IN CASE IF ANY OF THE CLAUSES OF THIS DOCUMENT SHALL DILUTEYOUR RESPONSIBILITY AS A STOCK BROKER / COMMODITY BROKER OR IN CONFLICT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYE-LAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES FROM TIME TO TIME, THE SAME SHALL STAND NULL AND VOID.

1. I /We (herein after referred to as Client at some places) do hereby declare that I am /We are regular investor in the stock markets in India and as such I am /We are conversant with the laws, practices, rules, regulations, guidelines, circulars, notifications etc. prescribed by Securities & Exchange Board of India (SEBI), National Stock Exchange of India Ltd. (NSEIL) Bombay Stock Exchange Ltd. (BSE) Multi Commodity Exchange (MCX), National Commodity & Derivatives Exchange Limited (NCDEX).
2. I /We wish to transact through Indira Securities Pvt. Limited (herein after referred to as ISPL / Stock Broker / Commodity Broker/ Member / you) and as such this document will operate for any / all / both of the segments of NSE, BSE, MCX, NCDEX and whether CM Segment, F&O Segment and/or Currency Derivatives Segment or Commodity derivatives such other segment as the ISPL may become a member, in future, of these Exchanges and when I / We become client of that / those segment(s).
3. I /We understand and agree that you can debit my/our accounts either for any additional services provided by you as per my / our oral requests depending upon opening of my /our relevant account(s) or as may be required in compliance with applicable provisions of law.
4. I /We further declare that I am /We are aware of the illegal practices, if any, that may be prevalent in the Stock Market and I/We assure you that I /We will not indulge into the same.
5. I /We further declare that I /We will not carry out any unfair trade practices such as Synchronized Deals, Structured Deals, Circular Trading, Insider Trading in the Capital Market and / or F&O Market and /or Currency Derivatives Market or Commodity Market.
6. I / We further declare and confirm that I / We will not place any order or carry out any trades / transactions on the Exchange which will reflect as an arrangement for profit or loss transactions or cross deals. Further, all the orders placed on the Exchange through you, will be in the normal market at normal / prevailing market prices and only in Liquid Securities / Scrips and not at unrealistic prices where there is corresponding underlying securities positions in the cash or futures segment of the Exchange. In case, any of my / our transactions being declared as violative to any rules / regulations / byelaws / circulars / directions / guidelines etc of the Exchange / SEBI / SCRA, I /We will be solely responsible for all penalties /charges / damages etc levied from you by the Exchange and accordingly do hereby undertake to reimburse/ pay the same to you.
7. I /We further declare and confirm that the shares / securities provided / being provided to you are generally for the purpose of availing exposure limits / margin limits / towards collaterals in F & O Segment of the Exchange.
8. I am / We further declare that as on the date of registration as your client, I am / We are eligible to transact in the securities market as per applicable rules, regulations, byelaws, circulars, guidelines etc. of SEBI & NSE, BSE, MCX, NCDEX have not been banned / restrained to transact in the securities market by any Exchange or statutory authorities and whatever permissions / prior permissions, as may be required from government authority(ies) have been obtained by me/ us.
9. I /We hereby further declare that I am /We are aware of the following provisions of laws applicable to the Securities Market as may be applicable from time to time.

A) Section 11 of the SEBI Act, 1992 read with 11B interalia prescribed that 11 (4) without prejudice to the provisions contained in subsection (1) (2) (2A) and (3) of 11B , the Board may, by an order for reasons to be recorded in writing, in the interests of investors or securities market, take any of the following measures, either pending investigation or inquiry or on completions of such investigation or inquiry, namely restrain person from accessing the securities market and prohibit any person associated with securities market to buy, sell or deal insecurities.

(B) Section 4 Prohibition of manipulative, fraudulent and unfair trade practices

(1) Without prejudice to the provisions of regulation 3, no person shall indulge in a fraudulent or an unfair trade practices insecurities.

(2) Dealings in securities shall be deemed to a fraudulent or an unfair trade practices if it involves fraud and may

include all or any of the following namely:-

(A) indulging in an act which creates false or misleading appearance of trading in the securities market;

(B) dealing in a security not intended to effect transfer of beneficial ownership but intended to operate only as a device to inflate, depress or cause fluctuations in the price of such security for wrongful gain or avoidance of loss;

(C) advancing or agreeing to advance any money to any person thereby inducing any other person to offer to buy any security in any issue only with the intention of securing the minimum subscription to such issue;

(D) paying, offering or agreeing to pay or offer, directly or indirectly, to any person any money or money's worth for inducing such person for dealing in any security with the object of inflating, depressing, maintaining or causing fluctuation in the price of such security;

(E) any act or omission amounting to manipulation of the price of a security;

(F) publishing or causing to publish or reporting or causing to report by any person dealing in securities any information which is not true or which he does not believe to be true prior to or in the course of dealing insecurities;

(G) entering into a transaction in securities without intention of performing it or without intention of change of ownership of such security;

(H) selling, dealing or pledging of stolen or counterfeit security whether in physical or dematerialized form;

(I) an intermediary promising a certain price in respect of buying or selling of a security to a client and waiting till a discrepancy arises in the price of such security and retaining the difference in prices as profit for himself;

(J) an intermediary providing his clients with such information relating to a security as cannot be verified by the clients before their dealing in such security;

(K) an advertisement that is misleading or that contains information in a distorted manner and which may influence the decision of the investors;

(L) an intermediary reporting trading transactions to his clients entered into on their behalf in an inflated manner in order to increase his commission and brokerage;

(M) an intermediary not disclosing to his client transactions interceded into on his behalf including taking an option position;

(N) circular transactions in respect of a security entered into between intermediaries in order to increase commission to provide a false appearance of trading in such security or to inflate or depress or cause fluctuation in the price of such security;

(O) encouraging the clients by an intermediary to dealing in securities solely with the object of enhancing his brokerage or commission;

(P) an intermediary predating or otherwise falsifying records such as contract notes;

(Q) an intermediary buying and selling securities in advance of a substantial client order or whereby a future or option position is taken about an impending transaction in the same or related futures or options contract;

(R) planting false or misleading news which may induce sale or purchase of securities.

I/We hereby further declare that I/ We will not indulge either directly or indirectly in any of the above mentioned fraudulent or unfair trade practices either individually or in concert with other persons/entities. In the event of any of the above fraudulent or unfair trade practices is noticed by the Exchange or Regulatory Authorities, then I/We shall be solely responsible for such acts as noticed and you shall not be responsible for my illegal and fraudulent and unfair trade practices in the capital market segment and Futures and Options segment of the exchange.

12. I / We further declare that I / We will not give any third party shares for settlement of my/our obligations to the Exchange. I /We further understand and agree that, for any reason, if any third party delivery is delivered to you, without prejudice to your right to reject the same upfront and without my/our notice / intimation or without your right to levy any further charges / auction charges / penalties upon me/ us as you may think fit and proper, at my/ our sole risk, you can take such action as you may deem fit and proper including but not limited to suspension of my trading code or withholding of funds and/or securities.

13. I /We further declare that I /We will not receive or give any monies in cash or in kind for completing the settlement obligations, either pay-in or pay-out or margin etc. to the Exchange.

14. I / We declare and confirm upfront that the securities delivered, if any, towards margin / collaterals / pay-in obligation etc. shall absolutely be free from any lien / encumbrances of whatsoever nature.

15. Considering my / our account to be maintained on Running Account basis, I /We also request you, subject to settlement on monthly or quarterly basis (strike off which ever is not applicable) as per my / our wishes, to consider the balances in my / our running funds and securities account with you for the purpose of margins / any other lawful obligations due to you. In view of the above it would be proper for you to release the funds and securities due to us/me on our/ my specific request, either written or oral and only to the extent demanded by me/us. You may charge the cost of holding securities to our/my account with you, if any and I /We will make payments to you for bills raised by you or by way of journal voucher entries or other accounting entries in my/ our client ledger maintained in your books of accounts backed by actual fund transfer.

16. In consideration of you- the Stock Broker / Commodity Broker agreeing to this, I /We the Client agrees that if any amount is overdue from me /us, you may charge delayed payment charges as per your RMS policy from time to time and thus, the over dues including the interest on delayed payment, shall be adjusted by you from dues to be payable to me/ us . Thus I/ We as your Client authorizes you - the Stock Broker / Commodity Broker to make adjustments and/or to set off a part or whole of the securities placed as margin/collateral, and/or any credit in any account as a Client so maintained with you - the Stock Broker / Commodity Broker or against the lawful outstanding dues in any of the account maintained by me/ us with the Stock Broker/ Commodity Broker. I/We further authorize you - the Stock Broker/ Commodity Broker to sell the securities to recover any dues payable by me/ us to the Stock Broker/ Commodity Broker. This authorization shall be treated as standing authorization and any entry passed or adjustments done by you - the Stock Broker/ Commodity Broker to give effect to this authorization shall be binding on me / us as your Client. I /We, as your Client understands and confirms that this authorization forms basis for you as a Stock Broker/ Commodity Broker to give trading limits /exposure limits, and for any other facilities offered by you to me / us. I /We also understand that according to the rules byelaws and regulations of the exchange and SEBI, you -the Stock Broker/ Commodity Broker, are required to maintain segmentwise / exchangewise account of the Client.

    (i) Money pay-in to Stock Broker / Commodity Broker: The client agrees that all payments due to the Stock Broker will be made within the specified time and in the event of any delay, the Stock Broker may refuse, at their discretion, to carry out transactions on behalf of the client. The client agrees that alternatively, the Stock Broker may square off such transactions or close-out the position and the costs/losses if any, thereof shall be borne solely and completely by the client. All payments made to the Stock Broker shall be from the account of client and shall not be from any third party. It is also agreed and confirmed that the stock broker as informed me/us that third party delivery / cheque will NOT be accepted but if Stock Broker has inadvertently accepted any third party payment given by me/us directly to the bank A/c of Stock Broker, without its knowledge or information, the same shall be returned to the person from whose bank account the payment has been made and the client agrees and confirms the sole responsibility of what so ever nature, if any, imposed upon the stock broker by Exchange or any other authority.

    (ii) Money pay-out by Stock Broker / Commodity Broker: Notwithstanding anything contained in any other clause, if any, between the parties hereto, the client hereby authorises the Stock Broker to release all payments due to him from the trading account maintained with the Stock Broker, against specific request in that behalf made in the manner and following the procedure laid down in the terms and conditions. For the purposes of this clause, any request made through or on the web-site or otherwise intimated shall be sufficient for the Stock Broker to execute an instruction. Any payment made to the designated bank account or in the name of the client as per information available with the Stock Broker shall be deemed to be payment made to the client.

    (iii) Securities pay-in to Stock Broker / Commodity Broker:Any delivery to be effected to the Stock Broker for a trade, must be made well within the prescribed time limit as per settlement schedule of the exchange. However, stock broker may accept or reject any late delivery than as stated above. Losses, if any, that may accrue in the event of default in completing the delivery on the Exchange by the Stock Broker as a result of any delay in the delivery by the client, shall be borne solely and completely by the client. Losses for the purposes of this clause shall include auction debits/penalty charges, if any incurred as a result of non-delivery of securities on the settlement date on the Exchange. No third party shares will be sold through the Stock Broker or third party payment should be made to Stock Broker and client will be solely responsible for any violation. If the client has sold any securities in anticipation of receipt of securities from the exchange against purchase in previous settlements, such sale shall be at the sole risk as to costs and consequences thereof of the client.

    (iv) Securities pay-out by Stock Broker / Commodity Broker: The Stock Broker / Commodity Broker may directly credit the demat account of the client with the depository participant Provided that if the order placed by the client through the web-site or otherwise is for securities which are in the no-delivery period, such securities shall be credited to the trading account of the client only at the time of settlement of trades, as per the schedule of the Exchange. However, if any sum is due from the client the Stock Broker may withhold the credit of securities to its own beneficiary demat account or the demat account of the client.

    (v) Securities shortages in pay in and pay out: The client agrees to be bound by the guidelines, including the rules

pertaining to the adjustment of shortages in the client's position in securities transacted on behalf of the client, by the Stock Broker, either through orders placed through the use of the IBT or e-broking services and dial-up services of the Stock Broker or otherwise as may be issued by the Stock Broker from time to time. In case of internal shortage of securities, any entry passed to the account of Client in accordance with practice consistently followed by the Stock broker across all its Clients as may be consonance with stock exchange market / practices, shall be binding on the Client.

(vi) Stock Broker is entitled to consider any sum or money or security lying to the credit of the Client as margin received.

17. I/We have a beneficiary account with ISPL DP bearing demat account no. _____. I/We find it extremely inconvenient to give cheques against your depository bills. Hence, I /We hereby authorise you, subject to applicable provisions, if any, to debit the trading account maintained with you for the debit charges payable by me/ us to you as a DP for providing depository services to my/our trading account balances.
18. As regard the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me/us in complying the same, I /We would request you to accept orders placed by any other means other than written.
19. I /We have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, as per the rules and regulations of the Exchange.
20. I am / We are aware, agree and confirm that for non-payment of any margin money / pay-in obligations, you - the stock broker may sell all / any of the securities held by broker towards margin / collaterals /credit balance lying in my/ Our client's account or may square-up all/any open position to fulfill these requirements as the circumstances may warrant.
21. I /We specifically consented not to Indulge into any off-market transactions leading to dubba-trading.
22. I /We have also noted the details of your compliance officer including your designated E-mail ID for complain / grievances redressal.
23. I/We shall not indulge in any sub-broking activities nor issue bills /contracts/confirmation notes to anyone else for trades done in my / our client code without obtaining SEBI or Exchange Registration in my/our name.
24. I / We as your client agrees that you (stock broker) / Commodity Broker, shall not be liable or responsible for non execution of orders placed through trading terminals / website or through any other mode due to the failure of any system or link out side your control or any other reason whatsoever or for non-performance of your obligations due to any reason whatsoever including but not limited to natural calamities or civil commotion, war, strikes, government/ regulatory action, exchange or market rulings, suspension of trading. I /We are aware and agree that you (stock broker) also reserves the right of refusing to execute any particular transaction in your absolute discretion if you found the same to be violative to any provisions or is/are not in consonance with your RMS policy.
25. I / We as your client agrees that any failure by you as a Stock Broker / Commodity Broker to exercise or enforce any rights conferred upon you by this document/or as per KYC document executed between us, shall not be deemed to be a waiver of any such rights or operate so as to bar the exercise or enforcement thereof at any subsequent time or times.
26. I /We as a client, hereby agrees and indemnifies, and shall always keep you (Stock Broker) / Commodity Broker indemnified against all such action and / or claims, costs, charges damages, losses and expenses which may be incurred, suffered and / or sustained by you (Stock Broker) due to my/our mistake or non-compliance of any rules, regulations, circulars or other provisions or with respect to any third party cheque(s) and / or delivery of shares, which may be given by me / us as your client to be credited in my /our account as your client.
27. I /We as your client do hereby agrees with respect to Compliance with prevention of money laundering act, 2002 (PMLA), as amended till date and from time to time and rules, regulation and guidelines framed hereunder and confirms that all the information which may be required by you (stock broker) / Commodity Broker to enable you to comply with the provisions of thePMLAand the rules, regulation and guidelines framed there under has been disclosed including issues related to "beneficial ownership", if any and also undertakes to promptly provide the same on an on-going basis whenever required. As also I / We hereby agree to keep you (Stock Broker) / Commodity Broker informed of any change in the information earlier provided in/ through KnowYour Client Form or otherwise in this regard immediately in writing.
28. All fines / penalties and charges, exemplary damages etc. levied upon you due to my / our acts / deeds or transactions including illegal acts or unfair trade practices etc. as may be levied by the Exchanged) and suffered by the Member, shall be passed on to me / us and recovered by you from my /our account either by way of debiting the same or otherwise.
29. If permissible under other provisions of KYC documents executed between us or as per rules, regulations, byelaws,

circulars or guidelines or other provisions of Exchanges and/or SEBI, I am / We are aware that you may charge delayed payment charges by whatever name called.

30. Close out in case of internal shortage: I /We, your Client hereby agrees that if I /We have short delivered any securities against my / our pay-in obligations which resulted into internal shortage i.e. buys position of another client of the stock broker / Commodity Broker and couldn't be auctioned in the market than close out price @ _____% above the closing price on the Auction Day or Closing price of first trading day of the settlement whichever is higher. I /We further specifically agrees that without prejudice to the Member's other rights including the right to refer a matter to arbitration, the member shall be entitled to liquidate / close out all or any of my / our open position/margin related obligation. Any and all losses, financial charges and /or incidental expenses incurred by the member on account of such liquidation / closing out shall be reimbursed by me / us or deductible by the member from the monies and /or collateral margin of mine/ ours, brokerage of the subbroker available with the member.
31. I /We consent to adjust debit / credit balances in between my / our various accounts viz. F&O Initial / Upfront Margin Account, F&O M TO M Account, CM Segment Account, Margin Account or such other accounts maintained with you pursuant to opening of this trading codes with you. The same can be done in your books of accounts by passing JV Entries or in such other manner as may be permissible.
32. Sharing of Information : I/We agree to immediately furnish information to the member in oral /writing or the member suo-moto (on its own) in receipt of such information in the event that is likely to have an adverse effect of my /our financial position or any restrictions or adverse findings or actions, if any, by any statutory authority. Upon receipt of such information, the member shall be entitled to take such action as it may consider necessary in order to protect its own interest, including without limitation, liquidation / closing out all / any outstanding positions of mine / ours. Any and all losses, financial charges and /or incidental expenses incurred by the member on account of such liquidation / closing out shall be make good or reimbursed by me/ us to the member.
33. Investment Advice : The Client acknowledges that the Member shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. The Client also acknowledges that the Member's Employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from member or any of its employees. The Client agrees that in the event of the Member or any employee or official of the member providing any information to the client, he / she / it may act upon the same at sole risks, costs and consequences and the member shall not be liable / responsible for the same. The client further agrees to always keep himself/herself/itself abreast of all requirements to be complied with by him/her/it under various laws including Foreign Exchange Management Act (FEMA), 1999 wherever applicable and the rules, regulations, directions, circulars, notifications, guidelines etc. issued under or pursuant to the relevant laws from time to time.
34. The Client shall not hold ISPL responsible for any losses incurred on account of failure of System/Risk Management System/Network Congestion/Loss of Connectivity from Dealing Office.
35. Restrictions on Regulation of Dealings: The Stock Broker / Commodity Broker shall at its discretion decide, from time to time, the volume of business which the Client (introduced directly or by the sub-broker or authorised person) may transact during any trading day on NSE/BSE/MCX exchange wise or segmentwise or in combine. Notwithstanding such as an understanding / arrangement, the Stock Broker / Commodity Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client as per RMS policy from time to time, inter-alia, having regard :
    (i) to the volatility in the market ;
    (ii) in view of impending price sensitive announcements ;
    (iii) any restrictions in relation to volume of trading / outstanding business / margins stipulated by the Exchange / Stock Broker / Commodity Broker, political instability in the Country etc ;
    (iv) presence of any other price sensitive factors ;
    (v) failure by the Client to provide / maintain the applicable collateral/margin; and/or
    (vi) delays by the Client in meeting his/her/its lawful obligation / lawful dues relating to the business / dealings done under this present.
36. REPRESENTATIONS AND WARRANTIES :
    (1) I/We agree that I / We have the required legal capacity and am/are authorized to enter into mandatory and voluntary client registration document and am/are capable of performing my/our obligations and undertakings pursuant to this KYC Form submission and allotment of Client Code by the Stock Broker/ Commodity Broker/ISPL.
    (2) I/We specifically agree that I am /We are trading for my/our own account and shall not act as a Sub-broker of the Stock Broker / Commodity Broker without the prior written permission of the Stock Broker / Commodity Broker and without obtaining the certificate of registration from the Securities and Exchange Board of India (SEBI) and/ or respective Exchange(s).

(3) I /We specifically agree and confirm that all details about me/ us as may be provided vide this KYC form are true and correct and complete in all respect as per my / our knowledge and belief. I/We hereby give this declaration to you without any coercion, with sound mind and voluntarily to you which shall be part of my Client Registration Form and In case any information / details found to be false / untrue / misleading / misrepresenting, Iam/We are aware that I/We may held liable for it.

37. I /We agree to pay an advance call money for daily mark to mark settlement to ISPL if the markets or price fluctuations are such that the relevant authority deems it necessary, it may call upon by F&O Clearing Corporation which in its opinion are affected, to deposit with the clearing corporation by such time as specified by the relevant authority, the amount of funds that it estimates will be needed to meet such settlement as may be necessary.

    I /We understand and am / are aware that the aforesaid consents are purely voluntary and have been given to you for smoother operations of my / our client account with you as our broker. Further, these standing instructions are valid from the date the client / trading account is opened with you and will be valid and operational until revoked by me/us.

38. I / We, as a Client shall be responsible for all orders, including orders that may be executed without the required margin, whether or not you as a Commodity Broker intimated me /us about such shortfall in margin, shall instantaneously make up the shortfall either through delivery of shares in the event of sale or credit the required fund in the bank account via personal cheque or money order or account transfer or any other mode accepted to you as per your RMSpolicy from time to time.

Request for Online Trading Application

The Compliance Officers
Indira Securities Private Limited, Indore

We/I wish to avail following online trading applications facility provided by you. I acknowledge that the trading application facility is chargable and charges are subject to modify time to time.

Please Tick (✓) Internet based trading (IBT) ☑ Mobile (wireless) Trading ☑

Please Select the Required Segment(s) and Application (✓) in following table

Exchange / Segment Name	IBT (EXE Based)	IBT (WEB Based)	Mobile Trading
NSECM	☑	☑	☑
NSE F & 0	☑	☑	☑
NSE CDS	☑	☑	☑
BSECM	☑	☑	☑
BSE F&O	☑	☑	☑
BSE CDS	☑	☑	☑
MCX	☑	☑	☑
NCDEX	☑	☑	☑

Date: _____
(dd / mm/ yy)

15 ☑ _____

Please share your social media detail	
Facebook ID	
Twitter ID	
Linkedin ID	

VOLUNTARY DOCUMENT - 2 [FOR RUNNING ACCOUNT AUTHORISATION]
To Indira Securities Pvt. Ltd.

I UNDERSTAND THAT THIS IS PURELY A VOLUNTARY DOCUMENT AND SHALL FORM PART OF THE NON-MANDATORY DOCUMENTS OF MY KYC FORM. IN CASE IF THE SAME SHALL DILUTE YOUR RESPONSIBILITY AS A STOCK BROKER OR IN CONFLICT WITH ANY OF THE CLAUSES IN THE MANDATORY DOCUMENTS, RULES, BYE-LAWS, REGULATIONS, NOTICES, GUIDELINES AND CIRCULARS ISSUED BY SEBI AND THE STOCK EXCHANGES / COMMODITY EXCHANGE FROM TIME TO TIME, THE SAME SHALL STAND NULL AND VOID.

1. **About Voluntary Document :** I/We do hereby declare and confirm that I/We have thoroughly read and understood the voluntary document attached which forms part of Non-mandatory Documents of this KYC form and do accord my / our consent for the same .
2. **About Running Account Authorisation:** I/We do hereby specifically declare and confirm that my/our account is to be maintained in Running Account mode and as such request for the same.

   I/We also specifically understand and agree that :

   (a) This is only a voluntary authorization that may be revoked by me at any time.

   (b) This authorization shall remain in force until and unless the same is revoked by me.

   (c) This authorization is signed by me/us only and not by my/our authorized person/POAholder.

   (d) For my/our outstanding obligation / balance on the settlement date, you may retain the requisite securities / funds towards such obligations and may also retain the funds expected to be required to meet margin or other obligations in compliance with applicable circulars, guideline, rules, regulations, byelaws etc. of the Exchange and/or SEBI and as may be calculated in the manner specified by the exchanges.

   (e) I / we request you to settle my fund and securities account once in a calendar quarter / once in a calendar month. (Please strike off which is not applicable)

   (f) Any dispute from my/our end, arising from statement of account or settlement, shall be brought to your notice in writing by me/us preferably within 7 days of receipt of funds/securities /statement as the case may be.

   (g) Periodic settlement of running account may not be necessary for margin trading facility or funds received towards collaterals / margin in form of Bank Guarantee, Fixed Deposit etc.

   (h) In case of my/our request / demand, you shall transfer the funds/securities within 1 working day if lying with you or within 3 working days if lying with Exchange/Clearing House.

   (i) There shall not be any inter-client adjustments for the purpose of settlement of my/our running account.

16 ☑ _____ Date: _____

FATCA DECLARATION

Do you satisfy any of the criteria mentioned below :

	Yes	No
a. Citizen of any country other than India (dual / multiple) [including Green card].		
b. Country of birth is any country other than India.		
c. Tax resident of ANY country / ies other than India.		
d. POA or a mandate holder who has an address outside India.		
e. Address or telephone number outside India		

If your answer to any of the above questions is a 'YES', please fill and submit the FATCA DECLARATION available at www.indiratrade.com > Downloads.

I/We hereby declare and confirm that the details given above are true and correct. Further I /We would like to state that in future if there is any change in my/our tax status (i.e if I / we become tax resident of any other country other than India) then the same will be informed to you and below FATCA Declaration will be submitted to you immediately.

17 ☑ _____ Client Name_____

Form for registration and verification of mobile number and email address

To, The Compliance Officer, Indira Group, Indore

We/I are/ am aware that (NSE/ BSE / MCX / NCDEX) provides SMS/email alerts to the constituents (clients) of its member for trades executed on their platform. We/I hereby provide and confirm my/our mobile number and/or email address as stated below for the purpose of receipt of SMS/email alerts.

- I want to receive transaction alerts in SMS as well as Email from NSE / BSE / MCX / NCDEX
- I want to receive transaction alerts in SMS as well as Email from Indira Group

The alerts should be sent on: Mobile number (enter 10 digit mobile no): | | | | | | | | | | |

Email ID: | | | | | | | | | | | | | | | | | | | | | | | | | | | |

We/I agree to the terms and condition specified by the Exchanges in through their circulars modified from time to time. We/I are/am aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request.

- About Electronic Contract Notes etc. : I/We do hereby request to receive ECN, statement of accounts, daily margin statement and such other record/information/notice etc. to my/our E-mail Account / ID as mentioned in KYC form. In case of any change, I /We shall promptly communicate in writing to you about the same.
- About SMS on mobile by Exchanges/ Member : I/We do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such other brief information as may be voluntarily sent / provided by you on my / our mobile no. as mentioned in KYC form. In case of any change therein, I /We shall promptly communicate in writing to you about the same.
- I/We do hereby declare and confirm that the details of e-mail id and mobile no. as may be provided by me/us in KYC form pertains to me / us or to my /our family members only. (family members means my spouse, dependent children, dependent parents only) Accordingly, I/We do hereby request you to upload the same as a part of UCC / UCI details to respective Exchange(s).
- I/We confirm that non-receipt of bounced mail notification by the member shall amount to delivery of contract note at mentioned email id.

Name of the client: _____

Client ID: _____ Date: _____ **Signature** 18 ☑ _____

Acknowledgement

From, Name of Client: _____

Client Code: _____ Address: _____

To
Indira Securities Pvt. Ltd

204,205, Amardarshan Building, 28/2 Old Palasia, Indore - 452018 (M.P)

Sub: Acknowledgement of KYC and Rights and Obligation document

1) I / we do hereby confirm the receipt of copy of the duly completed KYC documents, Tariff sheet, policies and procedures and other mandatory and voluntary client registration documents executed by me/us as your client. I further confirm that i have received the **Risk Disclosure Documents, Guidelines note, Do and Don't, Terms and Conditions for availing transaction Using Secured Texting (TRUST) Service Offered by CDSL, Policies and Procedures as per SEBI Circular No. MIRSD/ SE /CIR-19/2009 Dated 3 Dec, 2009, Basic information about AML measures for general guidance of clients** on my E-mail ID.
2) I/we do hereby confirm the receipt of the tariff sheet, trading code/unique client code allotted to me/us including the E-mail ID furnished by me/us for the purpose of receiving electronic contract notes, statement of accounts, or any communication from the member or any other documents and as such I have noted the User ID and Password given to me/us for the operations of the same through your website.
3) In case of non-receipt of the above or user ID & password for tracking any transaction through your Website: www.indiratrade.com I/we will promptly notify your compliance officer on compliance@indiratrade.com or Phone: 0731-2567151-4097151

19 ☑ _____ Date: _____

Mobile No.		Occupation	
E-mail ID		Income Range	
Mother Name		Nomination	☐ Yes ☐ No
Address	☐ Yes as per atched doc. ☐ No		
Verified by Client	or		

Verified by:

Name	Signature	Date	Time

For any grievance/dispute please contact INDIRA SECURITIES PVT. LTD. at the above address or email id complaint@indiratrade.com and no. 0731-2567151 - 4797151. In case not satisfied with the response, please contact the concerned exchange(s) as per following details.

Exchange	E-mail ID	Phone No.
NSE	ignse@nse.co.in	022-26598190
BSE	is@bseindia.com	022-22721233/34
MCX	grievance@mcxindia.com	91-22-66494000
NCDEX	askus@ncdex.com	91-22-66406608/9
CDSL	complaints@cdslindia.com	1800-200-5533/022-23058563

You can also lodge your grievances with SEBI at http://scores.gov.in. For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575

Broker/Agent Code ARN:		SUB-BROKER :	EUIN:
Unit Holder Information			
Name of the First Applicant :			
PAN Number :	KYC :	Date of Birth :	
Father Name :		Mother Name :	
Name of Guardian :		PAN :	
Contact Address :			
City :	Pincode :	State :	Country :
Tel. (Off) :	Tel. (Res) :	Email :	
Fax (Off) :	Fax (Res) :	Mobile :	
Income Tax Slab / Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax I/d No. :			
Politically exposed person / Related to Politically exposed person etc. ?		Yes	No
Mode of Holding :		Occupation :	
Name of Second Applicant :			
PAN Number :	KYC :	Date of Birth :	
income Tax Slab / Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc. :		Yes	No
Name of Second Applicant :			
PAN Number :	KYC:	Date of Birth :	
income Tax Slab / Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc. :		Yes	No
Other Details of Sole / 1st Applicant			
Overseas Address :			
	Pincode :	Country :	
Bank Mandate Details			
Name of Bank :		Branch :	
A/C No. :	A/c Type :	IFSC Code :	
Bank Address :			
City :	Pincode :	State :	Country :
Nomination Details			
Nominee Name :		Relationship :	
Guardian Name (If Nominee is Minor) :			
Nominee Address :			
City :	Pincode :	State :	

Declaration and Signature

I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.

Date :	Place :	
20		
1st applicant Signature :	2nd applicant Signature :	3rd applicant Signature :

ANNEXURE - 2
DECLARATION TO BE GIVEN BY PARTNERSHIP
(To be obtained on pre-printed Letter Head of the Firm)

Date: 01.06.2019

TO,
Indira Securities Pvt. Ltd.
5,Indira House (Africa House) Topiwala lane,
Lemington Road,Grant Road (e)
Mumbai,- 400007

Dear Sir,

We refer to the trading account opened with you in the name of M/s XYZ and declare and authorize you as under :

We recognize that a beneficiary account cannot be opened with a depository participant in the name of the partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. _____with Depository CDSL having DP Id _____ opened as a joint account in the name of the partners of the firm. We agree that the obligation for shares purchased and / or sold by the firm will be handled and completed through transfers to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as completed discharge of obligation by you in respect of trades executed in the above trading account of the firm.

For M/s XYZ

Sign: _____ Sign: _____ Sign: _____ Sign: _____

Mr. A Mr. B Mr. C Mr. D

(Should be signed by all partners of the firm)

ANNEXURE - 3
AUTHORITY LETTER IN FAVOUR OF MANAGING PARTNER/(S)
(To be obtained on pre-printed Letter Head of the Firm)

We the partner of M/s XYZ, a partnership firm, having its office at Mumbai office address ABC House, at Mumbai 400007 city Mumbai state Maharashtra hereby authorize Mr. A and Mr. B to open a securities trading account in Securities, Currency market and Derivatives segment and Multisegment on behalf of the firm M/s XYZ. with the Trading Member Indira Securities Pvt. Ltd. for sale and purchased of Securities etc. in Capital market/F&O market/Currency market segment. He /She / They is/are authorized on behalf of the firm to deal in shares, debentures, derivatives and the said Trading Member is hereby authorized to honor all instruction oral or written, given on behalf of the firm by him/her/them.
Mr./Ms A and
Mr./Ms B is / are
authorized to sell, purchase, trasfer, endorse, negotitate and / or / otherwise deal through Indira Securities Pvt. Ltd. on behalf of the firm M/s XYZ.

He / She / They is / are also authorized to sign, executed and submit such applications, undertakings, agreement and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose.

However any partner/ authorised signatory (ies) can issue cheques from bank account (s) in favour of Indira Securities Pvt. Ltd. client account for credit to Securities trading account of the firm with Indira Securities Pvt. Ltd., even through his/their sinature may not be available on the records of Indira Securities Pvt. Ltd. These cheques may either be from the account of partnership firm or from individual account, the said amount so given shall be solely/ exclusively for the account of the firm maintained with Indira Securities Pvt. Ltd.

For M/s XYZ
Partner_____ *(seal and Sign)*
Mr. A

For M/s XYZ
Partner_____ *(seal and Sign)*
Mr. B

For M/s XYZ
Partner_____ *(seal and Sign)*
Mr. C