NRI ACCOUNT OPENING FOR DEMAT & TRADING

Requirement for NRO / NON PIS Account

1. Individual Account Opening Form.
2. A passport-size photograph to affix and sign across on the account opening form.
3. Copy of PAN Card
4. Copy of Valid India Passport with place of Birth) If foreign passport, OCI or POI card Required.
5. Address Proof for Indian Address and Foreign Address.
6. Bank Proof (NRO) Account
7. FATCA DECLARATION (Attached)
8. FEMA Declaration (Attached)

Requirement for NRE/PIS Account

1. Individual Account Opening Form.
2. A passport-size photograph to affix and sign across on the account opening form.
3. Copy of PAN Card
4. Copy of Valid India Passport with place of Birth) If foreign passport, OCI or POI card Required.
5. Address Proof for Indian Address and Foreign Address.
6. PIS Account Letter from Bank
7. Bank Proof (NRE) Account
8. FATCA DECLARATION ALONG WITH TIN NUMBER (Attached)
9. FEMA Declaration (Attached)

Self-Certification for Individual - FATCA/CRS Declaration Form

Name			
PAN		**Date of Birth**	

FATCA/CRS Declaration Form

Part I- Please fill in the country for each of the following:

1	**Country of:**	
a	Birth	
b	Citizenship	
c	Residence for Tax Purpose	
2	US Person	Yes No

Part II- Please note:

a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to **Part III** for signature.

b. if for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:

TIN-1	Country of issue-1	TIN-2	Country of issue-2

a. In case any of the parameters in **Part I** indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in **Part IV**.

b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate. (Please also fill **Part IV** Self-Certification)

Part III- Customer Declaration (Applicable for all customers)

Under penalty of perjury, I/we certify that:

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. (**This clause is applicable only if the account holder Is a tax resident outside of India)**

Part IV- Self-Certification:

To be filled only if-

(a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or

(b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

Document Proof submitted (Pls tick document being submitted)

Passport ☐ Election ID Card ☐ PAN Card ☐ Driving License ☐ UIDAI Letter ☐ NREGA Job Card ☐ Govt Issued id Card ☐

Signature	
Name	
Date	

FEMA DECLARATION

I/We _____ declare that, I/We have/has complied with, and will continue to comply with, FEMA regulations and other applicable laws.

I/We will inform to DP when the change of my address as well as change of status I/We shall be opened the new account and transfer the securities from old demat account to new demat account opened under the new status and then the old demat account shall be closed.

……..…sign

(name)

REGISTRATION KIT

RI NO.:	
CLIENT CODE :	
DPID: 12017000 -	
NAME:	
DATE:	
AP/RM CODE:	

☐ CASH ☐ (F&O) ☐ COMMODITY

An Assurance of

Trust and EXCELLENCE



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INDIRA SECURITIES PVT. LTD.

CKYC		KRA	
REF No.	Date	REF No.	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/AP	
Employee/AP 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.

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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 for trading and Demat	Document detailing the demat fee schedule & rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	3-4
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, Form of Nomination and opt out of Nomination. Additional information as per CDSL Communique.	5-14
3	MITC	Most Important Terms and Conditions as prescribed by the SEBI and Stock Exchanges	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-cum-Registration / Modification Form for receiving SMS Alerts (Annex. 2.4)		
8	Terms and Conditions for availing transaction Using Secured Texting (TRUST) Service Offered by CDSL (Annex. 2.6)		
9	Basic Information about AML Measures For General Guidance of Clients		
10	Rights and Obligations of Beneficial owner and Depository Participant		
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
11	Voluntary Document	Documents showing voluntary consents for smoother operational conveniences of trading account which can be revoked at any point of time.	15-20
12	Running Account Authorization and ECN Declaration, Declaration for verification of mobile number and email address, Option to Issue DIS Booklet and Declaration Cum Undertaking Regarding Open Interest Positions	Contains voluntary undertakings by the client with respect to Letter of Authorization for maintaining a Running Account and Client consent to received documents in electronic form. Option to issue DIS book and declaration regarding open interest position.	21-24
13	Demat Debit and Pledge Instruction	To effect Transfer of securities from investor Demat A/c to Clearing House/Stock Broker account pursuant to the settlement / Margin obligation	25

Name of Exchange & DP, Membership No., SEBI Registration No. & Date :

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

Join us on

Registered office address: **"Indira House" 5 Topiwala Lane, Lamington Road, Grant Road (East), Mumbai - 400007**
CIN - U67120MH1996PTC160201, GSTIN : 23AABCI2772F1ZW
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 : **0731-4797170-71-72-74** Fax : **0731-2562117** Website: **www.indiratrade.com**
Compliance officer name, Phone No. & email id : **Vimlesh Ajmera - 0731-4797128 compliance@indiratrade.com**
Director Name, Phone No. & email id : **Dharmesh Khandelwal** - 0731-4797241 dharmeshk@indiratrade.com

For any grievance/dispute please contact INDIRA SECURITIES PVT. LTD. at the above address or email id complaint@indiratrade.com and no. 0731-4797275. 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.sebi.gov.in. For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575

Filing of complaints on SCORES – Easy & quick - Register on SCORES portal.
Mandatory details for filing complaints on SCORES: Name, PAN, Address, Mobile Number, Email ID,
Benefits: Effective communication and Speedy Redressal of the grievances
SCORES website : https://scores.sebi.gov.in

Disclaimer:-

We **Indira Securities Private Limite**d Member of NSE, BSE,MCX and NCDEX hereby declare that we do Client based Business as well as Proprietory Trading.

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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.
Individual & HUF AMC (Default)	Rs 400/-	Remat Charges	Rs 50/- Per RRN
Corporate (Default)	Rs 1200/-	Pledge Creation	Rs 50/- Per PSN. or 0.02% Whichever is higher
Transaction	Rs 20/- or 0.020%	Pledge Closure	Rs 50/- Per Closure
On Purchase	NIL	DIS Book Charges	Rs 100/- + Postal / Courier Charges Rs. 50/-
Other Charges	Modification of Account Rs. 50/- & Additional DIS book Issuance charges Rs. 100/- + Postal/Courier Charges Rs. 50/-	Margin pledge Creation Margin Pledge Closure Margin Repledge	Rs. 12.50/- Per Instruction Rs. 12.50/- Per Instruction Rs. 5.00/- Per Instruction
Dematerialization Rejection Charges	Dematerialization Rejection Charges Rs. 100/-	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. Special Scheme - Deposit Rs. 1500/- (Non Refundable First Quarter AMC) 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 upfront payment.
3. Rejection of DRF will be charged at Rs. 50 of Postage/Courier charges.
4. Goods and Services Tax (GST) and other levis would be extra as applicable.
5. In case of BSDA (Holding value between Rs. 0- 400000/- AMC Nil and Rs. 400001 to 1000000 AMC Rs. Charged 100/.) as applicable taxes

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

Date : ☐☐☐☐☐☐☐☐

1 _____

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BROKERAGE TARIFF SHEET

Client Code			Client Name							
Segment	Capital Market		Equity Derivatives		Currency Derivatives		MCX		NCDEX	
Brokerage Type	Delivery Based	Square Up	Future	Option	Future	Option	Future	Option	Future	Option
% Age										
Minimum										
Per Lot										

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.
8. I acknowledge that the trading application facility is chargeable and charges are subject to modify time to time.

2 _____

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

Please fill the form in ENGLISH and in BLOCK letters Fields marked * are mandatory
Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number:

Application Type*: ☐ New KYC ☐ Modification KYC

KYC Mode*: ☐ Normal ☐ EKYC OTP ☐ EKYC Biometric ☐ Online KYC ☐ Offline EKYC ☐ Digilocker

1. Identity Details (please refer guidelines overleaf)

PAN* _____ Please enclose a duly attested copy of your PAN Card

Name* (same as ID proof) _____ _____ _____ _____

Maiden Name+ (if any) _____ _____ _____ _____

Fathers/Spouse's Name* _____ _____ _____ _____

Mother Name _____ _____ _____

Photo

Date of Birth* |D|D| |M|M| |Y|Y|Y|Y|

Gender* ☐ Male ☐ Female ☐ Transgender

Marital Status* ☐ Single ☐ Married

Nationality* ☐ Indian ☐ Other _____

Residential Status* ☐ Resident Individual ☐ Non Resident Individual

Please Tick (✓) ☐ Foreign National ☐ Person of Indian Origin
(Passport mandatory for NRIs, PIOs and Foreign Nationals)

3 _____
Required Cross Sign on Photo

Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

☐ A - Adhaar Card XXXX XXXX __ __ __ __

☐ B - Passport No. _____

☐ C - Voter ID Card _____ Expiry Date |D|D| |M|M| |Y|Y|Y|Y|

☐ D - Driving License _____ Expiry Date |D|D| |M|M| |Y|Y|Y|Y|

☐ E - NREGA Job Card _____

☐ F - NPR Letter _____

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

2. Address Details* (please refer guidelines overleaf)

A. Correspondence/ Local Address*

Line 1* _____

Line 2 _____

Line3 _____

City/ Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

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

Gross Annual Income Details (Please tick (✓) :

☐ Below 1 Lac ☐ 1 - 5 Lacs ☐ 5 - 10 Lacs ☐ 10 - 25 Lacs ☐ More than 25 Lacs

Net-worth in ₹ (*Net worth should not be older than 1 year) **as on (date)** |d|d| / |m|m| / |y|y|y|y|

Applicant Wet Sign

4 _____

Applicant e-SIGN

5 _____

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B. Permanent residence address of applicant, if different from above A / Overseas Address* (Mandatory for NRI Applicant)

Line 1* _____

Line 2 _____

Line3 _____

City/ Town/Village* _____ District* _____ Pin Code* _____

State* _____ Country* _____

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

Proof of Address* (attested copy of any 1 POA for correspondence and permanent address each to be submitted)

☐ A - Adhaar Card XXXX XXXX __ __ __ __

☐ B - Passport No. _____

☐ C - Voter ID Card _____ Expiry Date D D M M Y Y Y Y

☐ D - Driving License _____ Expiry Date D D M M Y Y Y Y

☐ E - NREGA Job Card _____

☐ F - NPR Letter

☐ Z - Others _____ (any document notified by Central Government)

Identification Number _____

3. Contact Details

Email Id _____

Mobile No. _____

Tel. (Off.) _____ Tel (Resi.) _____

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)

4. Applicant Declaration

	Applicant e-SIGN	Applicant Wet Signature
I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/We are aware that I/We may be held liable for it. I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address. I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only. DATE: _____ (DD-MM-YYYY) PLACE: _____		6 _____

5. For Office Use Only

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp./AP Name _____ Emp. Code/AP Reg. No. _____ Emp. Desig./AP Emp. Desig. _____	☐ Self certified document copies received (OVD) ☐ True Copies of documents received (Attested) AMC / Intermediary Name : INDIRA SECURITIES PVT. LTD.
[Employee/AP Signature]	Indira Securities Private Limited Indore (M.P.)

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.

Client Name _____ 7 _____

INSTRUCTIONS/GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

A. General Instructions:

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

B. Proof of Identity (POI):

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

.**C. Proof of Address (POA):**

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council, etc., to their Members.
4. Self-declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/ or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Adhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

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

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

E. List of people authorized to attest the documents:

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

F. Online Mode Processing of KYC:

1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

2. EKYC OTP

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Adhaar e-KYC. OVD sourced from Offline Adhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

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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. **Is the entity involved/providing any of the following services?**
   - For Foreign Exchange / Money Changer Services ☐ YES ☐ NO
   - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) ☐ YES ☐ NO
   - Money Lending / Pawning ☐ YES ☐ NO
2. **Please tick, if applicable :** ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person
   For definition of PEP, please refer guidelines.
3. **GST NO.** _____
4. **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.

Exchanges	**NSE, BSE**				**MCX, NCDEX**
All Segments	Cash / Mutual Fund	F&O	Currency Derivatives	SLBM	Commodity Derivatives
8 ✍	✍	✍	✍	✍	✍

If you do not wish to trade in any segment / mutual fund, please mention here _____.

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 AP provide the following details:

AP Name	
AP Code	
Registration No.	
Registered office address	Pin
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 AP, if any:	
Client Code	Exchange
Details of disputes/dues pending from/to such stock broker/sub-broker: _____	

G. INTRODUCER DETAILS (optional)

Name of the Introducer	

(Surname) (Name) (Middle Name)

Status of the Introducer : Remiser/Authorized Person/Existing Client/Others, Please specify _____	
Address & Phone No. of the Introducer	
AP REG No.	Date

DECLARATION

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

Client Name _____ 9 _____

Date : | | | | | | | | |

Place _____

Nomination Form

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

To, **INDIRA SECURITIES PVT. LTD.** 28/2, Old Palasia, Amar Darshan Building, 3rd Floor, INDORE-18 (M.P.) India	**FORM FOR NOMINATION** **(** *To be filled in by individual applying singly or jointly* **)**
UCC	
Date	DP ID 1 2 0 1 7 0 0 0 Client ID

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

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / o ur 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**
Mandatory Details						
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)**					

* **Date of Birth and Name of Guardian to be provided in case of minor nominee(s)**

			Non-mandatory Details			
4	**Address of Nominee(s)/ Guardian in case of Minor** City / Place: State & Country:					
	PIN Code					
5	**Mobile / Telephone No. of nominee(s)/ Guardian in case of Minor**					
6	**Email ID of nominee(s)/ Guardian in case of Minor**					
7	**Nominee/ Guardian (in case of Minor) 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 (Mr./Ms.)		10 _____
Second Holder (Mr./Ms.)		_____
Third Holder (Mr./Ms.)		_____

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

Note- 1. This Nomination shall supersede any prior nomination made by the account holder(s). if any. 2. Residual securities: in case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any. 3. The Trading member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s).

Declaration Form for opting out of nomination

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

Date | | | / | | | / | | | | |

To

INDIRA SECURITIES PVT. LTD.

28/2, Old Palasia, Amar Darshan Building, 3rd Floor, INDORE-18 (M.P.) India

UCC								
DP ID	1	2	0	1	7	0	0	0
Client ID (only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name and Signature of Holder(s)*

1.✓ 11 _____ 2.✓ _____ 3.✓ _____

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

(Please Tear Here)

Received nomination form :

Acknowlegement Receipt

Registration No. | CDS | | | | | | | |

INDIRA
Gateway to Prosperity

ADDITIONAL KYC FORM OPENING A DEMAT ACCOUNT

For Individuals

To be filled by the Depository Participant

DP Internal Reference No.																Date								
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																						
		UCC																						
		EXCHANGE NAME & ID								NSE -12						BSE-11								
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			

Standing Instruction

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
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 (Tick the applicable box. If not marked the default option would be in Physical)	☐ Yes ☐ No
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)	☐ Yes ☐ No

SMS Alert Facility - Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form.		☐ Yes ☐ No
BSDA Facility - I / We wish to avail the BSDA facility		☐ Yes ☐ No
Running Account Settlement		☐ Monthly ☐ Quarterly
Receive Delivery Instruction Slip		☐ Yes ☐ No
Declaration for Mobile Number	☐ Self ☐ Spouse ☐ Children ☐ Parent	
Declaration for Email ID	☐ Self ☐ Spouse ☐ Children ☐ Parent	

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
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.

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 / 01277

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze

☐ Jointly	☐ Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

☐ First Holder	☐ All Holder	Email id
☐ Second Holder		
☐ Third Holder		

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	12 _____		

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 /We are regular investor in the stock markets in India and as such I /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 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 /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 to you by the Exchange and accordingly agree to reimburse/ pay the same to you.
7. 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 permission s, as may be required from government authority(ies) have been obtained by me/ us.
8. 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 inter-alia 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.

9. 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.

10. 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.

11. 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.

12. 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.

13. 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 upto 24% or 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 segment wise / exchange wise 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 ofinternal

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.

14. 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.
15. 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.
16. 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.
17. I /We have maintain a minimum cash balance of 50% along with the collateral for all the outstanding margins in all segments. Failing to do so, the difference amount will be subject to interest charges upto 24% per annum or as per your RMS policy from time to time and thus. In case of Non-maintenance of minimum cash balance of 50% by me/us then ISPL solely holds all right to square off my/us position at any time without any prior intimation.
18. 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.
19. I /We specifically consented not to Indulge into any off-market transactions leading to dubba-trading.
20. I /We have also noted the details of your compliance officer including your designated E-mail ID for complain / grievances redressal.
21. 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.
22. 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 outside 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.
23. 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.
24. 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.
25. 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 the PMLA and 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 Know Your Client Form or otherwise in this regard immediately in writing.
26. 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.

27. 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.
28. If a client is short in any segment, then we shall do inter segment transfer for adjustment of debit/margin in other segment.
29. 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 sub broker available with the member.
30. 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.
31. 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.
32. 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.
33. I/ We hereby, as a client confirm that we will not have any personal dealings directly or indirectly with AP/ employees of AP for any fixed return or trade advisory activities and if done ISPL will be not responsible for any kind of liability arising out of this act done by the me/us.
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 segment wise 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, I am/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 RM Spolicy from time to time.

39. I/We hereby give my/our consent to download my KYC records from the Central KYC registry (CKYCR), only for the purpose of verification of my identity address from the database of CKYCR Registry. I/We understand that my KYC record includes my KYC records / Personal information such as my name, address, date of birth, PAN etc.

40. This is in furtherance to the KYC details submitted by me/us to you. I/we wish to trade in Commodity Option Contracts of MCX and/or NCDEX exchanges. I have read and understood the Risk of Option Holders and Risk of Option Writers available on your website www.indiratrade.com .

41. I/we hereby agree that Indira Securities Pvt Ltd may disclose the client information to any person /entity as required under the law or to any broker's Association or organizations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by Indira Securities Pvt Ltd to any person or entity including but not limited to any independent third parties or any entities of Indira Securities Pvt Ltd Group or credit bureau of any information and data relating to Client or relating to Client's trading account with Indira Securities Pvt Ltd for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.

42. The client agrees that Indira Securities Pvt Ltd may appoint agents, credit bureau for carrying out the acts mentioned in or in relation to rendering its services and hereby consent to share his account related information, reports issued by such credit bureau to any such parties for various regulatory and other purposes.

RUNNING ACCOUNT AUTHORISATION (Voluntary)

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate Future Segment and/or Commodity Derivatives & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/we authorize you as under: -

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account (Choose one Option)

   Once in a calendar Month ☐

   Once in every calendar Quarter ☐

   except the funds given towards collaterals / margin in form of Bank Guarantee and /or Fixed Deposit Receipt
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. I/We confirm you that I can revoke the above mentioned authority at any time.
7. This running account authorization would continue until it is revoked by me.

Date : ☐☐☐☐☐☐☐☐

19 _____

Electronic Contract Note [ECN] - DECLARATION (VOLUNTARY)

To,

Indira Securities Private Limited

Dear Sir,

I, _____ a client with Member

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

- It is inconvenient for me to receive physical contract notes, Therefore, I am voluntarily requesting for 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.
- This declaration is valid till further notice/revoked by me.
- I/we solely responsible for the changes made in email id and bring it to the notice of indira securities at the earliest. Indira securities pvt ltd does not hold responsible for any email bounce, if the change in email ID not informed to ISPL through modification form.

Signature of the client

Date:

Place:

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.

20 _____

Form for registration and verification of mobile number and email address

To,
The Compliance Officer,
Indira Group, Indore

I/We are aware that (NSE/ BSE / MCX / NCDEX) provides SMS/email alerts to the constituents (clients) of its member for trades executed on their platform. I /We hereby provide and confirm my/our mobile number and 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: | | | | | | | | | | | | | | | | | | | | | | | | | | |

I /We agree to the terms and condition specified by the Exchanges in 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 email address can be stopped only on my/our 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 in the email, 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 the mobile number 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** 21 _____

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) / DDPI/ Registered for eDIS 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.

☐ **Option 2:**

I/We do not require the Delivery Instruction Slips (DIS) for the time being, since I /We have issued a POA/ DDPI/Registered for eDIS 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 22 _____ _____ _____

Sole / First Holder | Second Holder | Third Holder

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

Client Declaration Cum Undertaking Regarding Open Interest Positions

To,
Indira Securities Pvt. Ltd.
204-205 Amardarshan Building,
28/2 Old Palasiya, Saket Square,
Indore MP 452018
Ph.: 0731-4097170-71-72

Date:

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.

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.

23 _____

Date: _____
(dd / mm/ yy)

Request for obtaining Margin Trading Funding (MTF) Facility

To,
The Manager
Indira Securities Pvt. Ltd.
Indore

Date:

With reference to the above mentioned subject I/We would like to avail Margin Trading Funding (MTF) facility for my Client Code: _____.

I further declare that I/We have read, understood agreed and received Rights & Obligation and Terms and Condition regarding margin trading Funding facility provided by you.

24 _____

Client Name: _____

To,
Indira Securities Private Limited

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

Subject: - Request Regarding BSDA Flag for Demat Account No. _____.

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.

25 _____

To,
Indira Securities Private Limited

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

Subject: - Acknowledgement

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

Sr. No.	Brief Significance of the Documents
1	Duly Executed Copy of KYC along with Tariff Charges for Demat and Trading
2	Rights and Obligation (Trading)
3	Rights and Obligation – Internet & Wireless Technology based Trading Facility
4	Risk Disclosure documents for Capital and Derivative Segment
5	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
6	Annexure 2.4 Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts
7	Annexure 2.6 Terms and Conditions for availing transaction Using Secured Texting (TRUST) Service
8	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
9	Rights and Obligation of Beneficial owner and Depository Participant
10	Basic information about AML Measures for General Guidance of Client.
11	Most Important Terms and Conditions (MITC)
12	Copy of Indira's Risk Management Policy

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of Indira Securities Pvt. Ltd.,

Yours faithfully,

(Client Signature)

Client Name: -

26 _____

ANNEXURE-A

Stamp

Demat Debit and Pledge Instruction

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

1. Name : _____

2. Name : _____

3. Name : _____

WHEREAS, I/We hold a beneficiary Account no. 12017000 _____ (BO ID) with the Central Depository Services (India) Limited (CDSL) and UCC code _____, through Indira Securities Private Limited ,204-205, Amar Darshan Building, 28/2 Old Palasia, Indore – 452018 (M.P.) having SEBI registration Number INZ000188930..

And whereas I/We am/are an investor engaged in buying and selling of securities/commodities through Indira Securities Private Limited, a member of National Stock Exchange of India Ltd. (NSE), BSE Limited (BSE), Multi Commodity Exchange of India Ltd. (MCX) and National Commodities & Derivatives Exchange Limited (NCDEX) having SEBI registration Number INZ000138930.

And whereas due to exigency and paucity of time, I/We am/are desirous of appoint Indira Securities Private Limited (registered member of NSE, BSE, MCX and NCDEX) to operate my/our beneficiary account on my/our behalf for the limited purpose in the manner hereinafter appearing and subject to conditions as provided herein.

S.No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker The Following accounts will be used for Settlement purposes: BSE Principal Account 1201700000004505, NSE Pool Account 1201700000033598, NSE Early Pay-in Account 1100001100014521, BSE Pool Account 1201700000004511, BSE Early Pay-in Account 1100001000013135, NSDL CMBP ID NSE IN566866, NSDL CMBP ID BSE IN646015, NSE SLB Early Pay-in Account 1100002300000372, NSE SLB Pool Account 1201700000073641, Client Securities Margin Pledge Account (MTF) 1201700000528259, Client Securities Margin Funding Account 1201700000527878.	27 _____ Sole / First Holder _____ Sole / Second Holder _____ Sole / Third Holder
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange. The following accounts will be used for Pledging / repledging purposes are: Margin Pledge Securities Account – NSE & BSE 1201700000372254, Margin Pledge Securities Account – MCX & NCDEX 1201700000377423.	28 _____ Sole / First Holder _____ Sole / Second Holder _____ Sole / Third Holder
3.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related Mutual Fund transactions being executed on Stock Exchange order entry platforms The Following accounts will be used for Settlement purposes: BSE Principal Account 1201700000004505, NSE Pool Account 1201700000033598, NSE Early Pay-in Account 1100001100014521, BSE Pool Account 1201700000004511, BSE Early Pay-in Account 1100001000013135, NSDL CMBP ID NSE IN566866, NSDL CMBP ID BSE IN606631, NSE SLB Early Pay-in Account 1100002300000372.	29 _____ Sole / First Holder _____ Sole / Second Holder _____ Sole / Third Holder
4.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related to Tendering shares in open offers through Stock Exchange platforms The Following accounts will be used for Settlement purposes: BSE Principal Account 1201700000004505, NSE Pool Account 1201700000033598, NSE Early Pay-in Account 1100001100014521, BSE Pool Account 1201700000004511, BSE Early Pay-in Account 1100001000013135, NSDL CMBP ID NSE IN566866, NSDL CMBP ID BSE IN606631, NSE SLB Early Pay-in Account 1100002300000372,	30 _____ Sole / First Holder _____ Sole / Second Holder _____ Sole / Third Holder

* the same may be eSigned or signed physically

Note: This authorization will continue to remain valid until revoked in writing by you (persuant to SEBI Circular no. SEBI/HO/MIRSD/DoP/P/CIR 2022/44 dated April 04,2022)

I/We Accept (For Indira Securities Private Limited)
(Authorised Signatory)

Indira Securities Private Limited Indore (M.P.)

BSE STAR MF
SMART INVESTING

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 :

31		
1st applicant Signature :	2nd applicant Signature :	3rd applicant Signature :

FOR OFFICIAL USE

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

Verified by:

Name	Signature	Date	Time

INDIRA SECURITIES PVT. LTD.

Members: National Stock Exchange of India Ltd., Bombay Stock Exchange Ltd.

Reg. Office:
"Indira House", 5-Topiwala Lane, Lamington Road, Grant Road (East), Mumbai - 400007
Phone: +91-022-66224202-204

Correspondence Office:
204, 205, Amardarshan 28/2, Old Palasia, Indore - 452018 M.P. (India)
Ph.: +91-731-4797170-71-72
Email: customercare@indiratrade.com, Website: www.indiratrade.com