

No. _____

Client Name _____

Client Code _____

R. M. Name _____

R. M. Code _____

Dealer Name _____

Dealer Code _____

Demat A/C No. _____

Terminal Code _____

Trust is what we stand for,
Growth is what we strive for.

ACCOUNT OPENING FORM - NON INDIVIDUAL



IndiaNivesh[®]

TRUST, WE EARN IT

IndiaNivesh Shares and Securities Private Limited



IndiaNivesh Shares and Securities Private Limited

Dear Investor/s

We thank you for choosing IndiaNivesh Shares and Securities Private Limited, for all your Investment needs. We value your decision and assure you that we will strive to assist you in best possible manner for all your investment related needs.

“We enclose herewith “KYC” (Know Your Client) form along with Annexures for your execution for opening of trading and Demat accounts with us. We would urge to you go through the contents of Annexure - 2 (Risk Disclosure Document), Annexure - 3 (Rights & obligations for Trading, Demat, SLBM & MTF) & Annexure - 4(Do's and Don'ts) carefully, before executing the form .”

We would request you to provide us with your email address and mobile number in the KYC. The email address is required so that your accounts and trade information can be sent to you electronically. We would send you a Welcome letter activation of your account through email and a hard copy of KYC form will be sent to you through courier.

We request the Online trading clients to keep the password confidential.
We thank you once again.

Yours faithfully
On Behalf of **INSSPL Team**

Acknowledgment Slip

Date

To IndiaNivesh Shares and Securities Private Limited
Mumbai

Sir / Madam

I / We acknowledge the receipt all the mandatory documents containing Rights and Obligations Documents (Trading, Demat, SLBM & MTF)/ Uniform Risk Disclosure Document (RDD) / Guidance note - Do's and Don'ts for Investors/ Policy and Procedure documents and also received Copy of KYC form (along with Tariff Sheet & Other Voluntary Documents).

I am also aware of availability of above document on your website www.indianivesh.in


(1/13)

Signature of the Clients

Name of the Stock Broker : IndiaNivesh Shares and Securities Private Limited - SEBI REGN. No. INZ000010132
 BSE (Cash, F&O, CDS, SLBM, Margin Trading Segment) Membership No. 3130 (CM Clearing ICCL)
 NSE (Cash, F&O, CDS, SLBM, Debt, Margin Trading Segment) Membership No. 12566 (CM Clearing ICCL)
 MSEI (Cash, F&O, CDS Segment) Membership No. 51500 MCX (Commodity F&O) Membership No. 56570 (TCM)
 NCDEX (Commodity F&O) Membership No. 1285(TCM)
 ICEX (Commodity F&O) Membership No. ICEX 2087 (TM) CC for ICEX MSEICCL
 CDSL Repository Services Limited (CCRL) Registration Number 10010132
 CDSL Registration number
 NSDL Registration number
 AMFI Registration number – ARN-165538
 National E Repository Limited – Comtrack/NERL ID - R1616
 Commodity Receipts Information System (Comris): M1100255

Name of the Clearing Member

Exchange	Segment	Clearing member Name	SEBI Regn. No.
NSE/BSE/MSEI	FO & CDS & Commodity	Edelweiss Custodial Services Limited	INZ000177473

For any grievance / dispute please contact us at the above address or to our email id: grievances@indianivesh.in and Phone no.: 91-22-6240 6240. In case not satisfied with the response, please contact the concerned exchange(s) i.e for BSE, at their email id :is@bseindia.com and Phone No.91-022-22721233/34 for NSE, at their email id ig@nse.co.in and phone No. 91-022-26598190/8192 and incase of MSEI, Email ID: investorcomplaints@msei.com and Tel.No.:91-022-61129000-9028, MCX : grievance@mcxindia.com, Tel.:91-22 67494070 NCDEX: askus@ncdex.in, Tel.: 91-022 66406084, ICEX: grievance@icexindia.com, Tel.: 91-022 40381546 or you can also lodge online complaint at the websites of the respective exchanges. In case you are not satisfied with the response, please register his grievance directly through SEBI's grievance portal score <http://scores.gov.in/Complaint.aspx?flag=n> Sebi Help Line No:- 180027575 & 18002667575

IndiaNivesh Shares and Securities Private Limited is engaged in client based business and proprietary trading as well. This disclosure is made in pursuance of SEBI circular No. SEBI/MRD / SE/Cire-42/2003 dated 19th November 2003.

I N D E X

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

Sr. No	Document	Brief Significance	Pages From - To
1.	Request Letter	Request to open account based details available on CKYC/KRA Portal	1
2.	Consent Letter	Aadhaar Consent letter	2
3.	Account Opening Form	Part I KYC form - Document captures the basic information about the client and an instruction/check list. Non-Individual client	3-6
		Part II Additional information about the constituent relevant to trading account & demat account and instructions / checklist	7-12
4.	Tariff Sheet	Tariff sheet Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	13-14
5.	Declaration	Market Participant Declaration	15-16
6.		FATCA/CRS Declaration Form	17-20
7.	Rights & Obligations	Rights and obligations (Equity & Derivatives, SLBM, Margin Trading, DP, Commodity)	**
8.		Risk Discourse Document (Equity & Derivatives, Commodity & Commodity Option)	**
9.		Guidance Note	**
10.		Policies and Procedures	**

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

11.	Undertaking by the client	Undertaking for KYC Compliance	21-22
12.	Mutual Fund	NSE online trading in Mutual Fund	23
		BSE online trading in Mutual Fund	24
		ICEX online Trading in Mutual Fund	25
13.		Running account Authorisation / ECN Activation Form	26

DOCUMENTS RELATED TO DP ACCOUNT

14.	Tariff Sheet	Tariff sheet describing charges for various services offered by Depository Participant	27-28
15.	Authority to transfer Demat Charges	Authority to transfer demat charges in trading ledger	27-28
16.	SMS Alert Activation Form	Terms and Conditions-cum-Registration/Modification form for receiving SMS alerts from CDSL	29-30
17.	Form	Risk Profiling Sheet	31-34

** Separately provided to client and available on website

Request to open account based details available on CKYC/KRA Portal

Name _____

Add _____

City _____ PIN _____

State _____ Country _____

To,
IndiaNivesh Shares and Securities Private Limited
601/602, Sukh Sagar, N S Patkar Marg,
Girgaum Chowpatty, Mumbai 400 007.

CKYC/KRA Identification number _____

Dear Sir,

I/We request you to fetch my identity, address and other details required for Part-I/CKYC form of account opening kit from CKYC/KRA portal based on identification number provided above.

I/We am/are also attaching copy of email/letter received from KRA/CKYC and self-certified copy of PAN card for your reference for your reference.

I/We am/are further informing you that updated details are available on the portal and there is no change in details available on portal. My CKYC is done on the basis of proof of identity mentioned below. (Please provide self-certified copy of document)

Document Name	Number	Expiry Date, if any
Passport Number		
Voter ID Card		
PAN Card		
Driving Licence		
UID – Aadhar		
NREGA Job card		

I will inform INSSPL whenever there is change in above mentioned detail



(Client/Authorised Signature with Stamp)

Note –

1. For Non Individual client resolution/authorisation letter required on letter head.
2. For Minor/Partner/Directors/Authorised signatories CKYC number and certified copy of PAN card will be required.
3. Client will have to sign Part II, Tariff sheet and other voluntary document and provide supporting document
4. If there is change in details available on CKYC/KRA portal client will have to fill Part-I/CKYC form and provide supporting.

Aadhaar Consent letter

Client Code _____

To,
IndiaNivesh Shares and Securities Private Limited
601/602, Sukh Sagar, N S Patkar Marg,
Girgaon Chowpatty,
Mumbai - 400007

Subject: Consent to use Aadhaar card copy

Ref : Application for KYC Registration

Dear Sir,

I the undersigned _____, understand that I can submit either of the following document copy as an address proof for registration.

- a. Voter ID Card
- b. Driving License
- c. Passport
- d. Ration Card
- e. Aadhaar Card
- f. Utility Bills

I willingly give my consent to exchange/depository to accept copy of my Aadhaar card and proceed with the referred application.

Thanking you, Yours Sincerely.
(Name and Signature of the Aadhaar Card Owner)

Note - Provide Separate Consent letter for each Partner/Director/Trustee/Karta, submitting aadhar card as proof of address.

A. IMPORTANT POINT

1. Self attested copy of PAN card is mandatory for all clients.
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/PIQ 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section ID).
2. Unique Identification Number (UID)(Aadhaar) /Passport Voter ID card/Driving license.
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/Unique Identification Number (AADHAR 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 Governments 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 agendas exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds up to 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 a Seal should be affixed or the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, India, Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

F- In case of Non-1 individual, additional documents to be obtained from non-individuals, over and 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 Partner.
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 or HUF • Deed of declaration of HUF/ list of coparceners • Bank pass-book/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 • Authorised signatories list with specimen Signatures
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years • Authorised signatories list with specimen signatures
Foreign Institutional Investors (FII)	• Copy of SEBI registration certificate • Authorised signatories list with specimen signatures
Army/Government Bodies	• Self-certification on letterhead • Authorised signatories list with specimen signatures
Registered Society	• Copy of Registration Certificate under Societies Registration Act • List of Managing Committee members • Committee resolution (or persons authorised to act as authorised signatories with specimen signatures • True copy of Society Rules and Bye Laws certified by the Chairman/ Secretary

Please Submit the KYC Documents on A4 Size Paper Only.

Details of Promoters / Partners / Karta / Trustees and whole time directors forming a part of Known Your Client (KYC) Application Form for Non- Individuals

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors) / AADHAR No. (For Others)	Residential / Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Photograph
						 (3/13) PHOTOGRAPH Please affix the recent passport size photograph and sign across it
						 (3/13) PHOTOGRAPH Please affix the recent passport size photograph and sign across it
						 (3/13) PHOTOGRAPH Please affix the recent passport size photograph and sign across it
						 (3/13) PHOTOGRAPH Please affix the recent passport size photograph and sign across it
						 (3/13) PHOTOGRAPH Please affix the recent passport size photograph and sign across it

 (4/13)

Name & Signature Of The Authorised Signatory(ies)

Date

[d] [d] / [m] [m] / [y] [y] [y]

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PART II
Additional KYC Form for Opening a Demat Account / Trading Account

Internal Reference No.								Date	D	D	M	M	Y	Y	Y	Y
DP ID	1	2	0	4	9	4	0	0	Client ID							

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

I/We requires you to open a Demat and Trading Account in my/our name as per the following details:-

Type of Account												(For DP/Trading Account)									
Status												Sub-Status									
☐ Body Corporate ☐ Banks Trust ☐ Mutual Fund ☐ OCB Clearing ☐ FII ☐ CM ☐ FI ☐ Clearing ☐ Other (Specify)												To be filled by the DP									
SEBI Registration No. (If applicable)												SEBI Registration Date		D	D	M	M	Y	Y	Y	Y
RBI Registration No. (If Applicable)												RBI Approval Date		D	D	M	M	Y	Y	Y	Y
Nationality						☐ Indian ☐ Other (Specify)															

Holders Details																				
Sole/First Holder's Name (For DP/Trading Account)											PAN									
											UID									
											DATE OF BIRTH									
Second Holder's Name (In Case of Joint Account in DP)											PAN									
											UID									
											DATE OF BIRTH									
Third Holder's Name (In Case of joint Account in DP)											PAN									
											UID									
											DATE OF BIRTH									

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.	

Clearing Member Details (To be filled by CMS Only)			
Name of Stock Exchange			
Name of CC/CH			
Clearing Member ID		Trading Member ID	

Correspondence Address of Client	
Permanent Address of Client	

PAST ACTIONS
Details of any action / proceedings initiated / pending / taken by SEBI / Stock Exchange / any other authority against the applicant / client or its partner / promoters / Wholtime Director / authorised person in charge of dealing in securities during the last three years. [Pl. specify in the col. Below]

DEALING THROUGH SUB-BROKERS & OTHER STOCK BROKER'S

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

Sub-Broker Name SEBI Reg. No. :

Regd. Office Address

Tel No. : Fax : Website :

Whether dealing with any other stock broker / sub-broker (If case dealing with multiple stock brokers / sub-brokers provide details of all.

Stock Broker Name

Name of Sub-broker if any

Client Code Exchange

Details of disputes / dues pending from / to such stock broker / sub-broker

ADDITIONAL DETAILS

1. ☐ Physical Contract Note ☐ Electronic Contract Note (ECN) (If yes provide E-mail ID)

Specify your E-mail ID (If Applicable) :

Whether you wish to avail of the facility of Internet Trading / Wireless Technology (Please Specify)

☐ Internet Trading ☐ Wireless Technology If yes provide your Mobile no.

Number of Years of Investments / Trading Experience Years

Whether you wish to settle your ledger pertaining to your funds / Securities : (Please Specify) ☐ Monthly ☐ Quarterly

In case of Non Individual Client

2. Name of Authorised Person Designation of Authorised Person
PAN/UID of Authorised Person Signature of Authorised Person
Residential Address of Authorised Person Photographs of
Authorised Person

Any other information

INTRODUCERS DETAILS

Introduced By ☐ Authorised Person ☐ Existing Client ☐ Others (please specify)

NAME OF THE INTRODUCER :

PERMANENT ADDRESS :

CITY : PIN CODE : STATE :

COUNTRY : NATIONALITY : TELEPHONE No.:

FAX : MOBILE :

Introducer ID Proof No.

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
---	--

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
---	--

Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
-------------------------------	--

I / We request you to send Electronic Transaction-cum-Holding Statement at the Email ID	☐ 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 ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	☐ 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
---	---

GST DETAILS

State Regn. No. _____ Central Regn. No. _____

BANK ACCOUNT DETAILS :

(only 1st Bank Account detail will be mapped with DP)

Bank Name	Bank Branch	Bank A/c No.	A/c Type SB/CA / Others	MICR No.	IFSC Code										UP ID if any

Note : Please provide the above details with care as the same shall be used for Payment through NEFT / RTGS

- (I) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.
(v) Use separate sheet for multiple UPI ID map with same bank.
In case of options (ii) (iii) and (iv) above MICR code of the branch should be present / mentioned on the document

DEPOSITORY ACCOUNT DETAILS :

Depository/Repository Details :		☐ CDSL ☐ NSDL ☐ COMTRACK ☐ COMRIS ☐ CCRL ☐ NERL																	
	DP / RP Name	DP / RP ID								Client ID								Default ID	
		1	2	0	4	9	4	0	0										

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	Segments	Signature		Segments	Signature	
NSE	Cash		(6/13)	NSE F&O		(6/13)
NSE	Currency Derivatives		(6/13)	NSE - M F S S		(6/13)
NSE	Margin Trading		(6/13)	NSE - SLBM		(6/13)
NSE	Commodity Derivatives		(6/13)	NSE New-Debt		(6/13)
BSE	Cash		(6/13)	BSE F&O		(6/13)
BSE	Currency Derivatives		(6/13)	BSE STAR MF		(6/13)
BSE	Margin Trading		(6/13)	BSE - SLBM		(6/13)
BSE	Commodity Derivatives		(6/13)	BSE -Debt		(6/13)
MSEI	Cash		(6/13)	MSEI F&O		(6/13)
MSEI	Currency Derivatives		(6/13)			
NCDX	Commodity Derivatives		(6/13)			
MCX	Commodity Derivatives		(6/13)			
ICEX	Commodity Derivatives		(6/13)	ICEX MF		(6/13)

If in future the client wants to trade on any new segments/new exchange, separate authorisation letter should be submitted by the client to the stock broker.

Other Details (Please see guidelines overleaf)**1. Gross Annual Income Details**a. (Please tick (✓): ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 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 |

2. 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) _____**3. Please tick, if applicable :** ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

SMS Alert Facility Refer Terms & Conditions given as Annexure 2.6	Mobile No. +91 _____											
	[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	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 wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST											
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)								
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)									
<i>Easi</i>	To register for easi, please visit our website www.cdslindia.com . <i>Easi</i> allows a BO to view his ISIN balances, transactions and value of the portfolio online.											

I/We have received and read the Right and Received Obligation Document and Terms and Conditions agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We 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 Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Specimen Signatures	 (6/13)	 (6/13)	 (6/13)

FOR OFFICE USE ONLY

UCC Code Alloted to the Client			
	Documents verified with Original	Client Interviewed by	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of 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 our website www.indianivesh.in for the information of clients

Signature of intermediary _____

Date:/...../.....

For IndiaNivesh Shares and Securities Private Limited
Director/Authorised Signatory



Seal / Stamp of the Stock Broker

INSTRUCTIONS / CHECK LIST

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

- * In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
- 2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the client, 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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TARIFF SHEET

	General Rates				
		Intraday		Delivery	
		Percent		Minimum Rs.**	Percent
	Minimum Rs. **	1st side	2nd Side		
Cash Segment					
Debt Segment					

	General Rates					
		Intraday		Carry Forward		Physical Delivery for Derivative
		Percent		Minimum Rs.**	Percent	Minimum Rs.** Percent
	Minimum Rs. **	1st side	2nd Side			
Equity Futures						
Equity Options						
Currency Futures						
Currency Options						
Commodity Futures						
Commodity Options						

	General Rates		
		Percent	
		1st LEG	2nd LEG
SLBM	Minimum Rs. **		
Margin Trading			

	Exchange Traded Mutual Fund	
	Buying	Redemption
Mutual Fund		

The above rates are exclusive of transaction charge, Stamp Duty, Securities/Commodities Transaction Tax, Turnover fees, State GST & Central GST on transaction charges and turnover fees levied by exchange /SEBI and State GST & Central GST on brokerage which will be charged extra at the rate prevailing from time to time. The General rates as mentioned here shall be applied unless the special rates as may be agreed by the sub-broker/Authorised Person/Introducer and client and the same are mentioned here.

- * Duplicate Contract Note Charges for physical copies Rs.50/- per copy
- * Software Charges for IBT Client s Rs. 1000+Taxes per segment p.a.
- * For trade executed in Capital Markets Segment in Script Valued less than or equal Rs. 10/- rupees charge will be 0.25 paisa plus taxes.
- * Clearing charges charged by clearing member will be charged on actual basis.
- * Warehousing / delivery handling charges will be levied on actual basis
- * Margin Trading facility funding charges will be @ _____ % p.a.
- * IndiaNivesh reserve the rights to change the brokerage as well as other tariff from time to time under intimation to client.
- ** For clients opting for physical contract note, or clients who has opted for ECN but subsequently shifted to physical contract note due to bouncing of ECN, minimum brokerage of Rs. 50/- will be charged subject to upper cap of highest rate of brokerage allowed by regulator from time to time.

 (7/13) Client's Signature
  Signature of Broker/Authorised Person/Introducer
  Signature of Sub-broker



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Market Participant Category Declaration

Date : _____

Client Code _____

Name _____

Add _____

To ,
IndiaNivesh Shares and Securities Private Limited
601 & 602, Sukh Sagar, N. S. Patkar Marg,
Girgaum Chowpatty, Mumbai 400007.

Dear Sir/Madam

Sub – Categorisation of market participant for commodity derivative.

I/We hereby declare that I/We am/are covered under below marked category of market participant.

Category/Commodity	Farmer/FPO	Value Chain Participant	Domestic Financial Institution	Foreign Participant Other
ALUMINIUM				
BARLEYJPR				
BRASSPHY				
CARDAMOM				
CASTOR				
CASTORSEED				
CHANA				
COCUDAKL				
COPPER				
COPRA				
COTTON / KAPAS				
CPO				
CRUDEOIL				
CRUDEOILM				
DHANIYA				
DIAMOND				
GOLD				
GUARGUM5				
GUARS				
GUARSEED10				
ISABGS				
JEERAUNJHA				
JUTE				
LEAD				
MAIZE				
MENTHAOIL				
MOONG				
NATURALGAS				
NICKEL				
PADYPB1121 / PB1121				

Category/Commodity	Farmer/FPO	Value Chain Participant	Domestic Financial Institution	Foreign Participant Other
PEPPER				
RAPES				
RBDPMOLEIN				
RMSEED				
RUBBER				
SACK				
SILVER				
SOYOIL				
STEELONG				
SUGARM				
SYBEANIDR				
SYOREF				
TMCFGRNZM				
WHEATFAQ				
ZINC				

I request you to update the same on Exchange plate form.

(Clients Signature)

- i. **Farmers/FPOs:** It includes participants such as farmers, farmers' cooperatives, Farmers Producers Organisations (FPOs) and such entities of like nature.
- ii. **Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- iii. **Domestic financial institutional investors:** It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
- iv. **Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- v. **Others:** All other participants which cannot be classified in the above categories.

FATCA/CRS Self Declaration Form

To,
IndiaNivesh Shares and Securities Private Limited
601/602, Sukh Sagar
N S Patkar Marg, Girgaum Chowpatty,
Mumbai-400007

I/we hereby declare that

Part I

A.	Is the account holder a Government body/International Organization/listed company on recognized stock exchange	Yes/ No
	If "No", then proceed to point B	
	If "yes" please specify name of stock exchange, if you are listed company and proceed to sign the declaration	
B.	Is the account holder a (Entity/Financial Institution) tax resident of any country other than India	Yes/ No
	If "yes", then please fill of FATCA/ CRS Self certification Form If "No", proceed to point C	
C.	Is the account holder an Indian Financial Institution	Yes/ No
	If "yes", please provide your GIIN, if any	
	If "No", proceed to point D	
D.	Are the Substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not an Indian citizen	Yes/ No
	If "yes", (then please fill FATCA/ CRS self-certification form). If "No", proceed to sign the declaration	

Customer Declaration

() 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 to 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 lows of country outside India.
 - (ii) I/We understand that the IndiaNivesh Shares and Securities Private Limited (INSSPL) is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The IndiaNivesh Shares and Securities Private Limited (INSSPL) is not able to offer any tax advice on FATCA/CRS or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
 - (iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.
 - (iv) I/We agree that as may be required by domestic regulators/tax authorities the IndiaNivesh Shares and Securities Private Limited (INSSPL) may also be required to report, reportable details to CBDT or close or suspend my account.
 - (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

Signature (as per MOP)	 (8/13)
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

Part II
Self-Certification Form (Entity) for Foreign Account Tax Compliance Act (“FATCA”) and
Common Reporting Standards (CRS)

Section 1: Entity information

Name of Entity	
Customer id (if existing)	
Entity Constitution Type	☐ A- Sole Proprietorship ☐ B-Partnership Firm ☐ C-HUP ☐ D-Private Limited Company ☐ E-Public Limited Company ☐ F-Society ☐ G-AOP/BOI ☐ H-Trust ☐ I-Liquidator ☐ J-Limited Liability Partnership ☐ k- Artificial Juridical Person ☐ z-Others ☐ x-Not Categorised
Entity Identification type	☐ T-TIN ☐ C-Company Identification Number ☐ G-USGIIN ☐ E-Global Entity Identification Number (EIN) ☐ O-Other
Entity Identification No (based on entity identification type)	
Entity Identification issuing country	
Country of Residence for tax purpose	

Section 2: Classification of Non-Financial entities I/We (on behalf of the entity) certify that the entity is:

a) An entity incorporated and taxable in US (Specified US person)	Yes/No
If “Yes”, please provide your U.S. Taxpayer Identification Number (TIN)	
b) An entity incorporated and taxable outside of India (other than US)	Yes/No
If “Yes”, please provide your TIN or its functional equivalent	
Provide your TIN issuing country	
Please provide the following additional details if you are not a Specified US Person	
FATCA / CRS classification for Non-financial entities (NFFE)	
Active NFFE	Yes/No
Passive NFFE without any controlling Person	Yes/No
Passive NFFE with Controlling Person(s)	US/ Others
Direct Reporting NFFE (Choose this if any entity has registered itself for direct reporting for FATCA and thus IndiaNivesh Shares and Securities Private Limited (INSSPL) is not required to do the reporting)	Yes/No
Please provide GIIN number	

Section 3: Classification of financial institutions (including Banks) I/We (on behalf of the entity) certify that the entity is

a. An entity is a U.S. financial institution	Yes/No
If “Yes”, (i) Please provide your Taxpayer Identification Number (TIN)	
Please provide GIIN, if any	
If “No”, please tick one of the following boxes below:	
FATCA classification	Please provide the Global Intermediary Identification number (GIIN) or other information where
Reporting Foreign Financial Institution in a Model 1 applicable Inter-Governmental Agreement (“IGA”) Jurisdiction	
Reporting Foreign Financial Institution in a Model 2 IGA Jurisdiction	
Participating FFI in a Non-IGA Jurisdiction	
Non-reporting FI	
Non-Participating FI	
Owner-Documented FI with specified US owners	

Section 4: Controlling person declaration

If you are classified as “Passive NFFE with Controlling Person(s)” or “Owner documented FFI” or “Specified US person”, please provide the following details:

Name of controlling person	Correspondence Address	Country of residence for tax purpose	TIN	TIN issuing Country	Controlling person Type

Details	Controlling person 1	Controlling person 2	Controlling person 3	Controlling person 4	Controlling person 5
Identification					
Type (Refer Appendix 2)					
Identification Number					
Occupation Type (Refer Appendix 2)					
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5: Declaration

(i) Under penalty of perjury, I/we certify that:

1. The number shown on this form is the correct taxpayer identification number of the applicant, and
 2. 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, or
3. The applicant Is an applicant taxable as a tax resident under the laws of country outside India.
- (ii) I/We understand that the IndiaNivesh Shares and Securities Private Limited (INSSPL) is relying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The IndiaNivesh Shares and Securities Private Limited (INSSPL) is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.
 - (iii) I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
 - (iv) I/ We agree as may be required by /Regulatory authorities, IndiaNivesh Shares and Securities Private Limited (INSSPL) shall be required to comply to report, reportable details to CBDT or close or suspend my account.
 - (v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We hereby confirm that details provided are accurate, correct and complete

Signature (as per MOP)	 (9/13)
Names and designation of Signatories	
Name of Account Holder	
Date	
PAN Number of Account Holder	

(Company Seal, if applicable, to be affixed)

**Voluntary
Undertaking by the Client**

A. KYC related

1. I am fully aware and duly acknowledge that trading account being opened in my name with IndiaNivesh Shares and Securities Private Limited (INSSPL) is not a PMS Account.
2. I hereby undertake that, I will issue cheques only in favour of "IndiaNivesh Shares and Securities Private Limited" towards any obligations arising out of trading or depository account maintained with INSSPL or towards any charges levied by INSSPL from time to time in respect of my account.
3. If for any reason of whatsoever nature the welcome kit / other communications sent by INSSPL to my address as mentioned in my KYC form is returned undelivered by the postal authorities or couriers services or sent thru any other mode of transport then in that case I hereby authorize INSSPL to freeze my trading as well as depository account until I confirm my correct and latest address along with proof of the same.
4. I/we hereby undertake to update details provided in KYC form as and when there is any change or if any additional details required to meet the future compliance need in accordance with the regulatory changes, or any additional documents or proof or explanation required by member or any other regulatory authority for concluding any surveillance activity or proceeding initiated by them. I also agree to update my financial information along with proof as mentioned in KYC documents every year. In case I fail to comply with this clause, I authorised INSSPL to freeze my trading as well as depository account until I provide relevant documents and information.

B. Trading

1. I understand and acknowledge that INSSPL shall send a trade confirmation through SMS /make Confirmation Call to my Mobile no. (As provided in KYC form) on any trades executed in my trading account. In case of any discrepancy in any trades executed in my account, I shall report the same to INSSPL preferably within 24 hours of receipt of such SMS /Confirmation Call on 'sumit.gadhia@indianivesh.in' or over telephone on 022-6240 6240. In case I do not respond to the SMS preferably/ reject confirmation call within 24 hours then in that case INSSPL may treat my trades as confirmed. I understand that SMS facility provided by INSSPL is the additional effort (apart from sending of Contract Notes for trades executed which is mandatory) to minimize any disputes over trades been executed in my account at later point of time and I shall use this facility of trade confirmation provided by INSSPL to the fullest of extent and co-operate INSSPL in reducing any disputes at future date.
2. I fully understand and acknowledges that if any cheques issued by me in favour of anyone other than what have been mentioned above either inadvertently or on insistence of any of the franchisee / Sub broker / Authorized person / Remisier or employee of INSSPL, I will not hold INSSPL responsible / liable for any consequence that may be arises out of such issuance and I undertake to bear the entire risk arising out of such event.
3. Adjustment in different segments & Exchanges-I/We hereby authorize you to transfer, make adjustments and /or set off a part of whole of the securities placed as margin and/or any surplus funds in any of my account(s) maintained with you for meeting or settling all my trading and margin obligations across the segments and exchanges ie. BSE, NSE & from time to time. INSSPL shall have right of lien on the credit balance in any of my/our accounts irrespective of the whether it is maintained with INSSPL or any entries passed by INSSPL in accordance with this authorization.
4. Placement of securities as Collateral & Withdrawal-For smooth operations and to abide by the statutory requirements as laid down from time to time, I/We wish to keep transferring the securities to your designated demat account from time to time as collaterals towards margin deposit for cash/derivative segments of exchanges for which you may exempt me/us to give you separate individual instructions from time to time. Such collateral securities so transferred to your designated demat account should be credited to my/our account and margin benefits be given to me/us accordingly. We/I also authorize you to directly deliver such collateral securities to the Stock Exchanges towards my/our pay in /margin obligations with any reference to me/us. All demat charges in this regard would be borne by me/us.
5. I understand that exchange charges penalty to member for the default of client such as margin shortfall in client's account (i.e margin short reporting penalty), online client code modification due to mistake in order placing by client (client code modification penalty) and default in pay in of Funds/securities (Penalty for short delivery or auction) etc. I authorize broker to debit all such penalties which is levied by exchange due to my negligence or default to my account.

Date:



Client's Signature

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**NSE -Mutual Fund Service System facility
(Letter to be provided by the Investor to the Participant)**

To,
IndiaNivesh Shares and Securities Private Limited
601 & 602, Sukh Sagar, N. S. Patkar Marg,
Girgaum Chowpatty, Mumbai 400007.
Sub: Mutual Fund Service System (MFSS) facility

Date: _____

Dear Sir/Madam,

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client

Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange).

I/We am/are interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange.

For the purpose of availing the MFSS facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Thanking you,
Yours faithfully,

(Name & Signature)

Details of terms & conditions for the Investor / Client for using New MFSS facility

1. Pre-requisites for becoming Investor / Client for the New MFSS facility
 - 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS.
 - 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
 - 1.3. The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
 - 1.4. The Client has approached to the Participant with the application for availing the New MFSS facility.
 - 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants
2. Terms and Conditions
 - 2.1. The client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
 - 2.2. The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
 - 2.3. The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
 - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
 - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
 - 2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
 - 2.7. The Client shall pay to the Participant fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant renders to the Client.
 - 2.8. The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
 - 2.9. In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
 - 2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and / or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

BSE STAR MF
(Letter to be provided by the Investor to the MFI)

Voluntary Documents

To
IndiaNivesh Shares and Securities Private Limited
601 & 602, Sukh Sagar, N. S. Patkar Marg,
Girgaum Chowpatty, Mumbai 400007.

Date: _____

Sub: BSE STAR MF

Dear Sir/Madam,

I/We _____ am/are registered as your client with Client Code No. _____ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of BSE Ltd. (Exchange).

I/We am/are interested in availing the trading facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the BSE STAR MF.

For the purpose of availing this facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of BSE STAR MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the Circular dated December 2, 2009 and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/we therefore request you to register me/us as your client for participating in BSE STAR MF.

Thanking you,

Yours faithfully,



Name & Client Signature

ICEX-MF
(Letter to be provided by the Investor to the MFI)

Voluntary Documents

To
IndiaNivesh Shares and Securities Private Limited
601 & 602, Sukh Sagar, N. S. Patkar Marg,
Girgaum Chowpatty, Mumbai 400007.

Date: _____

Dear Sir/Madam,

Sub: ICEX MF

I/We _____ am/are registered as your client with Client Code No. _____.

I/We am/are interested in availing the facility of the Exchange for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the ICEX-MF.

For the purpose of availing this facility, I/we state that Know Your Client details, as already submitted by me/us for my/our registration as a client may be considered for the purpose of ICEX-MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We undertake to abide by the terms and conditions as mentioned in the Circular dated _____ and as may be specified by the Exchange from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI) or by any other regulatory authority as may be applicable to transaction in Mutual Fund units.

I/We shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We also undertake to abide by Bye-Laws/Rules/Regulations of ICEX as applicable to registered clients under the member of ICEX.

I/we therefore request you to register me/us as your client and allow me/us for participating in ICEX MF.

Thanking you,

Yours faithfully,



Name & Client Signature

RUNNING ACCOUNT

To,
IndiaNivesh Shares and Securities Private Limited
601/602"Sukh Sagar" N. S. Patkar Marg,
Girgaum Chowpatty Mumbai - 400 007.

Date:

Dear Sir/Madam,

Sub.: Authorisation for maintaining account on running account basis

1. I/We hereby authorize you to maintain my account with you on a running account basis for the purpose of operational convenience.
2. Please settle my/our running account on Quarterly /monthly basis. (Strike off whichever is not applicable)
3. I/We understand that while settling my/our accounts member can retain funds and securities necessary to meet my/our' pay-in or margin obligation for my/our open position/bill. Member can also retain 125% of margin requirement or any other amount as specified by regulatory from time to time as additional margin in anticipation of next 5 days margin requirement.
4. If my/our securities are lying with clearing member on the date of settlement the same will be returned to client within three working days from date of settlement.
5. The said authority can be revoked by me any time by giving a written intimation to this effect to the registered office of the Member.
6. However the such revocation shall be effective prospectively from the date of its receipt and shall not effect the rights of the broker to take necessary actions under this authorization with respect to the lawful outstanding obligations of already executed transaction till the date of receipt of the revocation intimation.
7. I/We Authorised you to keep the fund and securities with you if the value of fund and securities refundable to me is less than Rs. 10000/- or any other amount as specified by regulatory from time to time for any settlement period.
8. Any excess securities available in your Client Collateral / Collateral account will be released to me/us along with funds settlement after making necessary retention as may be permitted by regulators.



Client's Signature

MANDATE TO ISSUE CONTRACTS IN DIGITAL FORMAT

To,
IndiaNivesh Shares and Securities Private Limited
601/602"Sukh Sagar"N.S.Patkar Marg,
Girgaum Chowpatty, Mumbai - 400 007.

Date:

Dear Sir/Madam,

Sub.: Authorisation for receiving contract notes and other documents in Electronic Formats.

1. I/We hereby agree and consent to accept the contract notes for transactions carried on by me/us in Digital form to my email id _____
(Please mention you email id otherwise your request will not be activated)
2. I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes.
3. My/ our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time I/we understand that availing of digital contract facility is subject to following conditions:
 1. The Digital Contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
 2. Digital Contract notes will be mailed to the E-mail address provided to us in the format as may be prescribed by the Exchanges from time to time.
 3. The Non receipt of bounced mail notification by the member shall tantamount to deemed delivery of the contract note at my/our E-mail ID.
 4. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
 5. Discrepancies, if any, should be sent to the branch or to E-mail: mail@indianivcsh.in preferably within 24 hours of issuance of digital contract notes.
 6. Any changes in the terms and conditions shall be intimated from time to time.
 7. Digital Contract notes will also be available at URL <https://www.indianivesh.in>.
 8. Clients can view the Digital Contract notes on URL by using the username & password.
 9. All Other communication shall be emailed to the client at the email id given by the client.
 10. In case of Statement of Fund and Securities, Client will be have time to report the discrepancies within 30 Days of the issuance of the Statement.
 11. In case of any changes in Email Id I/We will intimate the same in writing by physical letter to INSSPL.
 12. I/We authorize IndiaNivesh Shares and Securities Private Limited to send welcome kit, copy of KYC, Rights & Obligation and other documents related to account opening on my/our email id.



Client's Signature

IndiaNivesh Shares and Securities Private Limited
DEPOSITORY PARTICIPANT WITH CDS(I)L

Schedule A
Tariff Structure for Depository Services Effective from April 01.2012

Sl. No.	Service	Corporate / CM
1	DEMATERIALISATION (For Every 50 Certificate)	40/-
2	REMATERIALISATION	Rs.10/- for every 100 shares subject to maximum 5 lacs
3	EQUITY Transfer Fees-Market & Off Market (Per Transaction minimum of Rs. 15/-)	0.03%
4	PLEDGE Creation/Confirmation /Closure/Invocation	Rs. 100/-or 0.02% whichever is higher
5	Account maintenance charges (per quarter pro-rata upfront)	Rs.250/- per quarter

-  Fees schedule based on existing CDSL charges and is subject to change at the sole discretion of the IndiaNivesh Shares and Securities Private Limited After giving 30 days notice.
-  State GST / Central GST extra as applicable.
-  Stamp charges upfront as per stamp act payable.
-  All reference prices will be BSE price.

Kindly open my/our account under

☐ **Life time category**

☐ **RGESS**


(10/13) First Holder


(10/13) Second Holder


(10/13) Third Holder

Authority to Transfer Demat Charges in Trading Ledger

To,
IndiaNivesh Shares and Securities Private Limited
601/602, "Sukh Sagar" N. S. Patkar Marg, Girgaum Chowpatty, Mumbai - 400 007.
Tel: +91(22) 6240 6240, Fax: +91(22) 6240 6241
E-mail: demat@indianivesh.in, Webcite : www.indianivesh.in

Beneficiary Client ID	1	2	0	4	9	4	0	0							
Trading Account Code															

Dear Sir,

This is to inform IndiaNivesh Shares and Securities Private Limited that

1. I / We have a beneficiary account with IndiaNivesh Shares and Securities Private Limited (DP) with Client id as mentioned above.
2. Further I/We have a trading account with IndiaNivesh Shares and Securities Private Limited (trading code as mentioned above) for investment and trading purpose.
3. I/We find extremely inconvenient to give cheque against your depository bills.

With respect to the above mentioned subject and consideration, I hereby authorize you to debit the trading account maintained with IndiaNivesh Shares and Securities Private Limited for the debit charges payable to IndiaNivesh Shares and Securities Private Limited as depository Participant for providing services. Any Such Sum debited to my/our account shall be binding on me/us.

Yours faithfully


(11/13) First Holder


(11/13) Second Holder


(11/13) Third Holder

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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 account holders 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.

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	4	9	4	0	0								
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Sole/First Holders Name

Second Holders Name

Third Holders Name

Mobile Number on which messages are to be sent

+91										
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(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)



(13/13) First Holder



(13/13) Second Holder



(13/13) Third Holder

Place: _____

Date: _____

Risk Profiling Sheet



IndiaNivesh Shares and Securities Private Limited

Risk Profile Assessment		
	Question	Answer
1.	What is your main purpose of Investing?	a. To protect capital (2 marks) b. To protect capital and earn regular income (4 marks) c. To grow capital (6 marks) d. To grow capital and generate regular income (8 marks) e. To build long-term wealth (10 marks)
2.	What is your current portfolio composition:	a. Mainly money market, short-term funds, corporate / bank deposits and bonds (2 marks) b. Mainly debt market instruments, gold and some portion in blue-chip stocks (4 marks) c. A mix of debt instruments, blue-chip / aggressive stocks, capital protected and direct equity (6 marks) d. Mainly aggressive stock, high-yield debt funds, (small and midcap stocks and income funds) private equity and real estate (8 marks) e. Mostly speculative or high-risk investments (aggressive stocks, high-risk funds, options, real estate, leveraged positions, etc.) (10 marks)
3.	What is your investment horizon and when do you plan to start withdrawing money from the portfolio?	a. Within 1 year (2 marks) b. Between 1 and 3 years (4 marks) c. Between 3 and 5 years (6 marks) d. Between 5 and 10 years (8 marks)
4.	What percentage of your investments would you like to keep for emergencies or unforeseen events?	a. More than 50% (2 marks) b. 25% - 50% (4 marks) c. 10% - 25% (6 marks) d. Below 10% (8 marks) e. None of my investments (10 marks)
5.	If your investment is not doing as well as anticipated, how much time would you give for it to show performance	a. less than 3 months (2 marks) b. Up to 6 months (4 marks) c. Up to 12 months (6 marks) d. Up to 2 years (8 marks) e. Up to 3 years or more (10 marks)
6.	Which of the following best describes you as an investor:	a. Comfortable with investments that involve lower risk and generate lower but consistent returns year-to-year (2 marks) b. Willing to ignore minor fluctuations in my portfolio but prefer to be invested in less risky investments (4 marks) c. I would like to have moderate capital growth over a long- term period with short-term fluctuations, but averse to taking high risks (6 marks) d. Looking for substantial investment returns, willing to accept occasional short-term declines (8 marks) e. Targeting high investment returns, willing to accept higher risks including loss of capital (10 marks)

Question		Answer																																									
7.	Which portfolio will you choose from the following The table shows the worst and the best one year return of five hypothetical investment plans:	<table><tr><td></td><td>Indicative Return</td><td>Best Return</td><td>Worst Return</td><td>Risk Volatility</td><td></td></tr><tr><td>a</td><td>6%</td><td>6%</td><td>6%</td><td>-</td><td>(2 marks)</td></tr><tr><td>b</td><td>7%</td><td>12%</td><td>2%</td><td>2.50%</td><td>(4 marks)</td></tr><tr><td>c</td><td>10%</td><td>30%</td><td>-10%</td><td>10%</td><td>(6 marks)</td></tr><tr><td>d</td><td>12%</td><td>45%</td><td>-25%</td><td>12%</td><td>(8 marks)</td></tr><tr><td>e</td><td>15%</td><td>60%</td><td>-30%</td><td>20%</td><td>(10 marks)</td></tr></table>							Indicative Return	Best Return	Worst Return	Risk Volatility		a	6%	6%	6%	-	(2 marks)	b	7%	12%	2%	2.50%	(4 marks)	c	10%	30%	-10%	10%	(6 marks)	d	12%	45%	-25%	12%	(8 marks)	e	15%	60%	-30%	20%	(10 marks)
	Indicative Return	Best Return	Worst Return	Risk Volatility																																							
a	6%	6%	6%	-	(2 marks)																																						
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e	15%	60%	-30%	20%	(10 marks)																																						
8.	Assuming an inflation rate of 4-6% p.a. over a medium to long-term horizon, what is your return expectation?	a. Inflation rate plus 2 - 4% p.a. (2 marks) b. Inflation rate plus 5- 7% p.a. (4 marks) c. Inflation rate plus 8- 10% p.a. (6 marks) d. Inflation rate plus 11 - 15% p.a. (8 marks) e. More than 15% p.a. over inflation rate (10 marks)																																									
9.	If your investment in a particular stock falls by 25% and there is no change in the fundamentals of the company (assuming that your circumstances and conviction about that that stock has not changed), you will	a. Not trade in stocks (2 marks) b. Sell all your holdings in that stock (4 marks) c. Sell part of your holdings in that stock (6 marks) d. Hold in order to get better returns (8 marks) e. Buy more of the stock (10 marks)																																									
10.	How frequently do your track your stocks?	a. Many a times b. Once in a day b. Weekly d. Monthly																																									
11.	What kind of research interests you the most?	a. Investment and strategy and investment ideas b. Short term trading calls c. Daily market view and day trading calls																																									
12.	What is your source of Stock market information?	a. TV channels b. News Paper c. Friends/Relative d. Broker e. Others (specify)_____																																									
13.	What is market/ stock preference?	Market Preference Stock Preference Speculator High risk return Regulator investor Bluchip Occasional Stock valued less then Rs.10/- Investment IndiaNivesh Research Trader Stock recommended by other research house																																									

What does your Risk Profile Score mean?

Wealth Guard (Risk Averse)	26- 44
Wealth Keeper (Conservative)	45- 63
Wealth Builder (Balanced)	64- 82
Wealth Enhancer (Growth)	83- 101
Wealth Multiplier (Aggressive)	102- 122

Total Score

What is your current portfolio size?

- ☐ Below 5 lacs ☐ 5-15 lacs
☐ 15-25 lacs ☐ 25-50 lacs
☐ 50 lacs & more

Whether any of your director or shareholder or Key Managerial Person are any of the following, or are directly or indirectly related to any of the following:

☐ NO

- ☐ Civil Servant ☐ Bureaucrat (Tax authorities, Foreign Services, IAS etc.)
☐ Politician or relative of politician
☐ Current or former MP, MLA, MLC or relative
☐ Current or former Head of State or their relative
☐ Connected to Media
☐ Print ☐ Radio ☐ TV ☐ Internet Blogs
☐ Connect to any promoter group of company listed on any stock exchange
_____ Name of the Company.
_____ Name of Stock exchange where company is listed.

Declaration - Risk profile

(Strike off whatever is not applicable)

1. I have undergone the risk profiling process and I agree with the risk category I have been placed under based on my risk profile assessment.

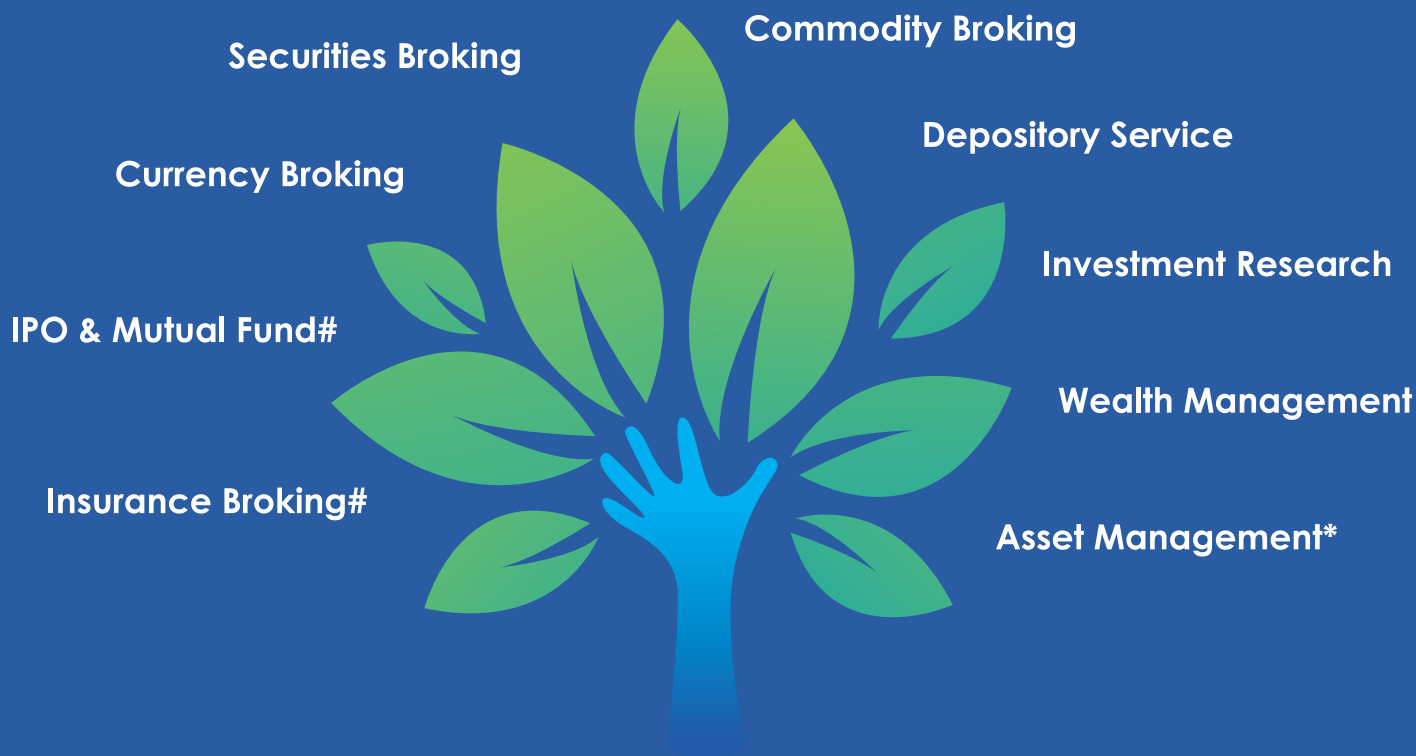
OR

2. I have undergone the risk profiling process. However, I do not agree with the risk category derived above based on my risk profile assessment and I want to override the risk category Based on my own assessment and attitude towards risk and investment, I prefer to be placed under risk category _____. (Please select a risk profile from the five model risk categories mentioned in the previous page.)
3. I also undertake to update the status if there is any change in future.

Signature of Account Holder _____ Place: _____ Date: _____

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IndiaNivesh[®]

TRUST, WE EARN IT

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