

CLIENT CODE: _____

CLIENT NAME: _____



PART – A

INDSEC SECURITIES AND FINANCE LIMITED

Exchange	Segment	SEBI Registration No.	Date on SEBI Registration Certificate
National Stock Exchange of India Limited (NSE)	Capital Market and Wholesale Debt Market Segment	INB230601039	27 th May, 1994
	Futures and Option Segment	INF230601039	25 th May, 2000
	Currency Derivative Segment	INE230601039	23 rd January, 2009
BSE Limited (BSE)	Capital Market and Wholesale Debt Market Segment	INB010633435	1 st September, 1994
(SINGLE SEBI REGISTRATION NO. INZ000236731 DATED 13 TH MARCH 2019)			

Depository	SEBI Registration No.	Date on SEBI Registration Certificate
National Securities & Depository Limited (NSDL)	IN-DP-475-2020	2 nd December, 1996

REGISTERED / CORRESPONDENCE OFFICE ADDRESS

301/302, "215 Atrium", A Wing, Andheri Kurla Road, Chakala, Andheri (East), Mumbai - 400 093

CONTACT DETAILS

- **Dealing Room (Equity):** +91-22 - 6114 6114 / 4514 6114 • **Debt (WDM):** +91-22 - 6114 6117
- **Operations:** +91-22 - 6114 6100 • **Fax:** +91-22 – 6710 6874 • **Website:** www.indsec.co.in
- **E-mail:** isfl@indsec.co.in • **Investor's Grievances:** isfl_invgrv@indsec.co.in

Compliance Officer – Broking	Compliance Officer – DP	CEO/MD
Mr. Diamond Dand Tel No : +91-22-6114 6107 Email Id: co@indsec.co.in	Mr. Yogesh Kokatay Tel No : +91-22-6114 6131 Email Id: co@indsec.co.in	Mr. Nandkishore Gupta Tel No : +91-22-6114 6100 Email ID: ngupta@indsec.com

For any grievance/dispute please contact Indsec Securities and Finance Limited at the above address or email id- **isfl_invgrv@indsec.co.in** and Phone no. **+91-22-6114 6100**. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange	Contact Nos.	Website	Email ID
National Stock Exchange of India Limited	+91-22-26598191 / 1800 266 0050	www.nseindia.com	ignse@nse.co.in
BSE Limited	+91-22-2272 8097 / 8517	www.bseindia.com	is@bseindia.com

Name of Clearing Member	Indsec Securities & Finance Ltd.
Clearing No.	06010
DP ID	IN300062
CM BP ID	IN500909
CLIENT ID	10000070

ACCOUNT OPENING KIT (Part A)

INDEX

SN	Particulars	Significance	Pg.#
Mandatory Documents as prescribed by SEBI & Exchanges			
1.	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/check list. (Part – I) Annexure A1 – Related Persons	Part A (2-7)
		Document captures the additional information about the constituent relevant to trading account and an instruction/check list. (Part – II)	Part A (8-11)
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Part B (2-7)
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Part B (8-11)
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Part B (12-13)
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker. <ul style="list-style-type: none"> Business Policy Document - Defining the various policy relating to the clients dealing with the company Proprietary Trading - Disclosure of Proprietary Trading by Broker To Clients 	Part B (14-16) Part A – 11
6.	Investor Charter		Part C
7.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	Part A – 12
8.	Nomination Form	Form for Nomination / Declaration Form for Opting Out of Nomination	Part A (14-16)
Voluntary Documents as provided by the Stock Broker			
9.	Running account authorization funds & securities	The client authorizes the broker to keep the stock and funds balance till instructions received from him	Part A – 12
10.	Declarations / Disclosures required under PMLA	The clients is required to make disclosures which are required for the purpose of monitoring for prevention of money laundering	Part A – 13
11.	Declaration from Client that trades done on own behalf	The client specifies that the trades are done for own/family purpose and not for broking business	Part A – 13
12.	Request for Aadhaar Linking	In compliance with Prevention of Money Laundering Act (PMLA) Rules, 2017, the client is required to provide AADHAR Number of all authorized signatories for accounts opened / operated with Financial Intermediary	Part A – 13

Signature Tally: (PART – A)

Page No.	No. of Signatures
2	1
3	1
7	1 (if applicable)
8	According to Trading Preference
9	1 (of Introducer)
10	1
11	1
12	3
13	3
15	1 (if Nomination Form Filled)
16	1 (if Opting Out of Nomination)

Important Instructions:

A) Fields marked with '*' are mandatory fields.	B) List of State/UT code as per Indian Motor Vehicle Act, 1988 available on page 6.
C) Please fill the form in English and in BLOCK letters.	D) List of two-character ISO 3166 country codes is available on page 7.
E) Please fill the date in DD-MM-YYYY format.	F) KYC number of applicant is mandatory for update application.
G) Please read section wise detailed guidelines / instructions on page 5 & 6.	H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

Application Type* : ☐ New ☐ UpdateKYC Number* : ☐ **1. PERSONAL DETAILS** (Please refer instruction A on Page 5)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID Proof):				
Maiden Name (if any*) :				
Father's/ Spouse Name* :				
Mother Name* :				
Date of Birth* : _____ - _____ - _____ (dd-mm-yyyy)				
PAN* :				
UID/ Aadhaar* :				
(Please enclose a duly attested copy of your PAN Card & AADHAR Card [Wherever physical Aadhaar card not received / official Aadhaar card number is not issued - kindly submit letter issued by UIDAI containing Aadhaar Enrolment No.]				
Gender* :	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T- Transgender	
Marital Status* :	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship* :	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)		
Residential Status* :	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type* :	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorised			

PHOTOGRAPH
 Please affix your recent passport size photograph

Signature / Thumb Impression

☐ **2. PROOF OF IDENTITY (PoI)*** (if PAN card and AADHAR copy not provided) (Please refer instruction C on Page 5)(Certified copy of **any one** of the following Proof of Identity [PoI] needs to be submitted)

<input type="checkbox"/> A - Passport Number _____	Passport Expiry Date : _____ - _____ - _____ (dd-mm-yyyy)
<input type="checkbox"/> B - Voter ID Card _____	
<input type="checkbox"/> D - Driving Licence _____	Driving Licence Expiry Date : _____ - _____ - _____ (dd-mm-yyyy)
<input type="checkbox"/> E - AADHAR Card XXXX - XXXX - _____	
<input type="checkbox"/> F - NREGA Job Card _____	
<input type="checkbox"/> Z - Others (any document notified by the central government) _____ Identification Number: _____	

3. PROOF OF ADDRESS (PoA)*☐ **3.1 Current / Permanent / Overseas Address Details** (Please see instruction D on Page 5)

Address

Line 1*					
Line 2					
Line 3				City / Town / Village*	
District*	Zip / Post Code*		State/UT Code	<input type="checkbox"/> <input type="checkbox"/> as per Indian Motor Vehicle Act, 1988	
State/UT*	Country*		Country Code	<input type="checkbox"/> <input type="checkbox"/> as per ISO 3166	
Address Type* <input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified					
(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)					
<input type="checkbox"/> Passport Number _____		Passport Expiry Date : _____ - _____ - _____ (dd-mm-yyyy)			
<input type="checkbox"/> Voter ID Card _____					
<input type="checkbox"/> Driving Licence _____		Driving Licence Expiry Date : _____ - _____ - _____ (dd-mm-yyyy)			
<input type="checkbox"/> AADHAR Card XXXX - XXXX - _____					
<input type="checkbox"/> NREGA Job Card _____					
<input type="checkbox"/> Others (any document notified by the central government) _____ Identification Number: _____					

(In case of multiple correspondence / local addresses, please fill "Annexure A1", Submit relevant documentary proof)

Line 1*					
Line 2					
Line 3			City / Town / Village*		
District*		Zip / Post Code*		State/UT Code	<input type="checkbox"/> <input type="checkbox"/> as per Indian Motor Vehicle Act, 1988
State/UT*		Country*		Country Code	<input type="checkbox"/> <input type="checkbox"/> as per ISO 3166

(Please refer instruction F on Page 6)

Email ID*					
Mobile*		Tel. (Off)	____ - _____	Tel. (Res)	____ - _____

☐ **Residence for Tax Purposes in Jurisdiction(s) Outside India** (Please refer instruction B on Page 5)

Additional Details Required* (Mandatory only if above option (5) is ticked)

Country of Jurisdiction of Residence*				Country Code of Jurisdiction of Residence		<input type="text"/> <input type="text"/> as per ISO 3166	
Tax Identification Number or equivalent (If issued by jurisdiction)*							
Place / City of Birth*			Country of Birth*		Country Code		<input type="text"/> <input type="text"/> as per ISO 3166

Address

Line 1*					
Line 2					
Line 3			City / Town / Village*		
District*		Zip / Post Code*		State/UT Code	<input type="checkbox"/> <input type="checkbox"/> as per Indian Motor Vehicle Act, 1988
State/UT*		Country*		Country Code	<input type="checkbox"/> <input type="checkbox"/> as per ISO 3166

(in case of additional related persons, please fill "Annexure B1")

[illegible]

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

	Prefix	First Name	Middle Name	Last Name
Name*:				

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

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


<input type="checkbox"/> A- Passport Number _____	Passport Expiry Date : ____ - ____ - ____ (dd-mm-yyyy)
<input type="checkbox"/> B- Voter ID Card _____	
<input type="checkbox"/> C- PAN Card _____	
<input type="checkbox"/> D- Driving Licence _____	Driving Licence Expiry Date : ____ - ____ - ____ (dd-mm-yyyy)
<input type="checkbox"/> E- AADHAR Card _____	
<input type="checkbox"/> F- NREGA Job Card _____	
<input type="checkbox"/> Z- Others (any document notified by the central government) _____ Identification Number: _____	

☐ 7. REMARKS (If Any)

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby declare that I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

[Signature / Thumb
Impression]

 Signature / Thumb
Impression of Applicant

Date : ____ - ____ - ____ (dd-mm-yyyy)

Place: _____

9. ATTESTATION / FOR OFFICE USE ONLY

☐ Originals verified and Self-Attested Document copies received

KYC Verification Carried Out by (Refer Instruction I)

Date: ____ - ____ - ____ (dd-mm-yyyy)

Emp.Name:

Emp. Code:

Emp. Designation:

[Employee Signature]

Institution Details

Name: **Indsec Securities and Finance Limited**

Code : **IN0143**

Emp. Branch : **HO**

[Institution Stamp]

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

Date: ____ - ____ - ____ (dd-mm-yyyy)

Emp.Name:

Emp. Code:

Emp. Designation:

[Employee Signature]

Institution Details

Name: **Indsec Securities and Finance Limited**

Code : **IN0143**

Emp. Branch : **HO**

[Institution Stamp]

Instructions/Guidelines for filling Individual KYC Application Form

General Instructions:

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1. Provide KYC number of related person if available.
2. In case of addition / deletion of related person, Please fill "Annexure B1"

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

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

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

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

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

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

K. PAN Exempt Investor Category

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

List of Two-Digit state / U.T Codes as per Indian Motor Vehicle Act, 1988

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

List of ISO 3166 Two-Digit Country Code

Country	Code
Afghanistan	AF
Aland Islands	AX
Albania	AL
Algeria	DZ
American Samoa	AS
Andorra	AD
Angola	AO
Anguilla	AI
Antarctica	AQ
Antigua and Barbuda	AG
Argentina	AR
Armenia	AM
Aruba	AW
Australia	AU
Austria	AT
Azerbaijan	AZ
Bahamas	BS
Bahrain	BH
Bangladesh	BD
Barbados	BB
Belarus	BY
Belgium	BE
Belize	BZ
Benin	BJ
Bermuda	BM
Bhutan	BT
Bolivia, Plurinational State of	BO
Bonaire, Sint Eustatius and Saba	BQ
Bosnia and Herzegovina	BA
Botswana	BW
Bouvet Island	BV
Brazil	BR
British Indian Ocean Territory	IO
Brunei Darussalam	BN
Bulgaria	BG
Burkina Faso	BF
Burundi	BI
Cambodia	KH
Cameroon	CM
Canada	CA
Cape Verde	CV
Cayman Islands	KY
Central African Republic	CF
Chad	TD
Chile	CL
China	CN
Christmas Island	CX
Cocos (Keeling) Islands	CC
Colombia	CO
Comoros	KM
Congo	CG
Congo, the Democratic Republic of the	CD
Cook Islands	CK
Costa Rica	CR
Cote d'Ivoire !Côte d'Ivoire	CI
Croatia	HR
Cuba	CU
Curaçao	CW
Cyprus	CY
Czech Republic	CZ
Denmark	DK
Djibouti	DJ
Dominica	DM

Country	Code
Dominican Republic	DO
Ecuador	EC
Egypt	EG
El Salvador	SV
Equatorial Guinea	GQ
Eritrea	ER
Estonia	EE
Ethiopia	ET
Falkland Islands (Malvinas)	FK
Faroe Islands	FO
Fiji	FJ
Finland	FI
France	FR
French Guiana	GF
French Polynesia	PF
French Southern Territories	TF
Gabon	GA
Gambia	GM
Georgia	GE
Germany	DE
Ghana	GH
Gibraltar	GI
Greece	GR
Greenland	GL
Grenada	GD
Guadeloupe	GP
Guam	GU
Guatemala	GT
Guernsey	GG
Guinea	GN
Guinea-Bissau	GW
Guyana	GY
Haiti	HT
Heard Island and McDonald Islands	HM
Holy See (Vatican City State)	VA
Honduras	HN
Hong Kong	HK
Hungary	HU
Iceland	IS
India	IN
Indonesia	ID
Iran, Islamic Republic of	IR
Iraq	IQ
Ireland	IE
Isle of Man	IM
Israel	IL
Italy	IT
Jamaica	JM
Japan	JP
Jersey	JE
Jordan	JO
Kazakhstan	KZ
Kenya	KE
Kiribati	KI
Korea, Democratic People's Republic of	KP
Korea, Republic of	KR
Kuwait	KW
Kyrgyzstan	KG
Lao People's Democratic Republic	LA
Latvia	LV
Lebanon	LB
Lesotho	LS
Liberia	LR

Country	Code
Libya	LY
Liechtenstein	LI
Lithuania	LT
Luxembourg	LU
Macao	MO
Macedonia, the Former Yugoslav Republic of	MK
Madagascar	MG
Malawi	MW
Malaysia	MY
Maldives	MV
Mali	ML
Malta	MT
Marshall Islands	MH
Martinique	MQ
Mauritania	MR
Mauritius	MU
Mayotte	YT
Mexico	MX
Micronesia, Federated States of	FM
Moldova, Republic of	MD
Monaco	MC
Mongolia	MN
Montenegro	ME
Montserrat	MS
Morocco	MA
Mozambique	MZ
Myanmar	MM
Namibia	NA
Nauru	NR
Nepal	NP
Netherlands	NL
New Caledonia	NC
New Zealand	NZ
Nicaragua	NI
Niger	NE
Nigeria	NG
Niue	NU
Norfolk Island	NF
Northern Mariana Islands	MP
Norway	NO
Oman	OM
Pakistan	PK
Palau	PW
Palestine, State of	PS
Panama	PA
Papua New Guinea	PG
Paraguay	PY
Peru	PE
Philippines	PH
Pitcairn	PN
Poland	PL
Portugal	PT
Puerto Rico	PR
Qatar	QA
Reunion !Réunion	RE
Romania	RO
Russian Federation	RU
Rwanda	RW
Saint Barthelemy !Saint Barthélemy	BL
Saint Helena, Ascension and Tristan da Cunha	SH
Saint Kitts and Nevis	KN
Saint Lucia	LC
Saint Martin (French part)	MF

Country	Code
Saint Pierre and Miquelon	PM
Saint Vincent and the Grenadines	VC
Samoa	WS
San Marino	SM
Sao Tome and Principe	ST
Saudi Arabia	SA
Senegal	SN
Serbia	RS
Seychelles	SC
Sierra Leone	SL
Singapore	SG
Sint Maarten (Dutch part)	SX
Slovakia	SK
Slovenia	SI
Solomon Islands	SB
Somalia	SO
South Africa	ZA
South Georgia and the South Sandwich Islands	GS
South Sudan	SS
Spain	ES
Sri Lanka	LK
Sudan	SD
Suriname	SR
Svalbard and Jan Mayen	SJ
Swaziland	SZ
Sweden	SE
Switzerland	CH
Syrian Arab Republic	SY
Taiwan, Province of China	TW
Tajikistan	TJ
Tanzania, United Republic of	TZ
Thailand	TH
Timor-Leste	TL
Togo	TG
Tokelau	TK
Tonga	TO
Trinidad and Tobago	TT
Tunisia	TN
Turkey	TR
Turkmenistan	TM
Turks and Caicos Islands	TC
Tuvalu	TV
Uganda	UG
Ukraine	UA
United Arab Emirates	AE
United Kingdom	GB
United States	US
United States Minor Outlying Islands	UM
Uruguay	UY
Uzbekistan	UZ
Vanuatu	VU
Venezuela, Bolivarian Republic of	VE
Viet Nam	VN
Virgin Islands, British	VG
Virgin Islands, U.S.	VI
Wallis and Futuna	WF
Western Sahara	EH
Yemen	YE
Zambia	ZM
Zimbabwe	ZW

A. BANK ACCOUNT(S) DETAILS

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

(In case of more Bank Accounts please provide details in separate Annexure)





B. DEPOSITORY ACCOUNT(S) DETAILS

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

(In case of more Depository Accounts please provide details in separate Annexure)

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE	NSE	
All Segments	Cash	F&O	Currency
			

If you do not wish to trade in any of segments, please mention here _____.

D. PAST ACTIONS

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

E. OTHER DETAILS1. **Gross Annual Income Details (please specify):** Income Range per annum:☐ Below Rs 1 Lac / ☐ 1-5 Lac / ☐ 5-10 Lac / ☐ 10-25 Lac / ☐ 25 Lac-1 crore / ☐ >1 crore

OR

Net-worth as on (date) _____ (dd/mm/yyyy): _____ (*Net worth should not be older than 1 year)

2. **Occupation:**☐ Private Sector / ☐ Public Sector / ☐ Government Service / ☐ Business / ☐ Professional / ☐ Agriculturist / ☐ Retired / ☐ Housewife / ☐ Student / ☐ Others _____3. **Please tick, if applicable, for YOU/any of your authorized signatories:**☐ Politically Exposed Person (PEP) / ☐ Related to a Politically Exposed Person (PEP)4. **Any other information:** _____

F. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

Sub-broker's Name: _____

SEBI Registration number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

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

Name of stock broker: _____

Name of Sub-Broker, if any: _____

Client Code: _____ Exchange: _____

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

G. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) : **Physical Contract Note**

Specify your Email id, if applicable : **N.A.**

- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): **N.A.**

- Number of years of Investment/Trading Experience: _____

- Any other information: _____

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
(Surname) (Name) (Middle Name)

Status of the Introducer: ☐ Sub-broker / ☐ Remisier / ☐ Authorized Person / ☐ Existing Client/ ☐ Others, please specify

Address and phone no. of the Introducer: _____

Signature of the Introducer:Ⓢ _____

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 i.e. **www.indsec.co.in**

Place _____

Date _____

_____
Signature of Client**FOR OFFICE USE ONLY**

UCC Code allotted to the Client:

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

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents.

I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

For Indsec Securities and Finance Limited

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Date _____

ADDITIONAL 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. All Clients are required to provide Copy of ITR Acknowledgement and/or Copy of Annual Accounts for last 2 years at the time of Account Opening and on a yearly basis thereafter.
3. 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.
4. Demat master or recent holding statement issued by DP bearing name of the client.
5. **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.

DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENTS

We refer to circular No. SEBI/MRD/SE/Cir-42/2003 dated 19th November 2003 issued by Securities and Exchange Board of India, in connection with the above and in terms of the said circular we disclose that we undertake proprietary trading, arbitrage as well as investment business on our account in addition to client based business.

For Indsec Securities & Finance Limited

Authorised Signatory

Date: _____(dd/mm/yyyy)



Client's Signature

TARIFF SHEET (STATEMENT OF CHARGES)

1) Brokerage Rates*

i. Cash Market (Normal Stock)

a. Delivery _____ b. Jobbing (One side) _____

ii. Cash Market (Penny Stock—Market Value < Rs.10/-)

a. Delivery _____

iii. Cash Market (Auction Trade)

a. Demat Account with us 1% b. Demat Account with other DP 2%

iv. F & O – Open Position _____

v. F & O – Jobbing _____

vi. F & O – Options _____

* Brokerage Rates at any point of time will not exceed the maximum limit as prescribed by SEBI/ Exchanges from time to time

2) Statutory Charges

Goods & Services Tax (GST), Securities Transaction Tax, Stamp Duty, Exchange Turnover Charges, any other statutory and regulatory dues will be charged extra at the rates prevailing from time to time as prescribed by Government/ SEBI/ Exchanges;

3) Delayed payment charges – 18% p.a. for a period beyond T+1 day

For Indsec Securities & Finance Limited

Authorised Signatory

Date: _____ (dd/mm/yyyy)




Client's Signature

RUNNING ACCOUNT AUTHORIZATION (VOLUNTARY CLAUSES)

I/ We are dealing through you as a client in **Capital Market** and/or **Future & Option segment** and/or **Currency Derivative segment** 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) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/we instruct you otherwise.
2. I/We request you to settle my fund once in every calendar (*Strike out whichever is not applicable*):

Month

Quarter  _____

Or such other higher period as allowed by SEBI/Stock Exchange from time to time.

3. 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 obligations for next 5 trading days, calculated in the manner specified by SEBI/ Exchanges.
4. 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.
5. I/We confirm you that I can revoke the above mentioned running account authorization at any time.

Thanking you

Date: _____ (dd/mm/yyyy)



Client's Signature

DECLARATIONS / DISCLOSURES REQUIRED UNDER PMLA

1) If NRI or FN,

a. Whether holding prominent public function in Foreign Country? If yes, then explain the type of function performed

b. Whether any of your close relative is occupying a prominent Public Function in a Foreign Country? If yes, then please provide details

2) List of companies in which not allowed to trade (*attach a separate list if required*):

a)	b)
c)	d)

3) I am interested directly/ through my relative(s) in the following body corporate (*attach a separate list if required*):

Name of the body corporate	Nature of Interest	Address of Corporate / ISIN

Date: (dd/mm/yyyy)

Client's Signature

DECLARATION**TO WHOMSOEVER IT MAY CONCERN**

I Mr. / Ms. _____, hereby declare that all trades entered by me with **INDSEC SECURITIES AND FINANCE LTD.** on BSE / NSE are for my/our corporate/personal account.

I confirm I do not operate for any client and no contracts are issued by me/us.

Date: (dd/mm/yyyy)

Client's Signature

REQUEST FOR AADHAAR LINKING IN BROKING ACCOUNT

I Mr. / Ms. _____, request Indsec to link my below given Aadhaar Number in my broking account.

Aadhaar No.: _____

Enclosed:

☐ Self-attested copy of Aadhaar Card (OR)☐ Letter issued by UIDAI containing Aadhaar Enrolment No. (wherever physical Aadhaar card not received / official Aadhaar card number is not issued)**Consent & Signature**

I hereby provide my consent to Indsec Securities and Finance Limited (ISFL) for the following:

- For validating my Aadhaar Number with UIDAI through Agencies Approved by UIDAI.
- For updating/linking my Aadhaar number based on the PAN given in all my/our accounts maintained with ISFL for KYC & other related due diligence purpose in line with PMLA requirements and Account enrichment purpose.
- I authorize ISFL to download / share my Aadhaar & associated demographic information (including any updated information) with other SEBI Registered Intermediaries like KRAs, CERSAI etc. to facilitate single submission / update across all my/ our accounts associated with such intermediaries based on PAN or other key information available with such intermediaries.
- Further declare that this consent will remain valid for updation in all my / our new accounts opened by ISFL.

Date: (dd/mm/yyyy)

Client's Signature

FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>

Date	D	D	M	M	Y	Y	Y	Y
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I wish to make a nomination. *[As per details given below]*

NOMINATION DETAILS

I wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my account in the event of my death.

Nomination can be made upto three nominees in the account.	Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
--	------------------------------------	------------------------------------	------------------------------------

Mandatory Details

1	Name of the nominee(s) (Mr./Ms.)*			
2	Share of each Nominee Equally [If not equally, please specify percentage]	%	%	%
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>				
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) 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			

		Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
7	Nominee/ Guardian (in case of Minor) Identification details – [Please tick any one of following and provide detailsof same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c. No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Name of holder	Signature of holder*

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

Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Intermediary shall provide acknowledgement of the nomination form to the account holder(s)

DECLARATION FORM FOR OPTING OUT OF NOMINATION*(To be filled in by individual singly or jointly)*

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

To,
INDSEC SECURITIES AND FINANCE LIMITED
301/302, "215 Atrium", A Wing
Andheri Kurla Road, Chakala
Andheri (East), Mumbai - 400 093

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/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 MF Folio / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

Name of holder	Signature of holder*

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