

Client Registration Form

Form No.



Transparency & Trust.....Guaranteed

INDIAN FINANCE GUARANTY LTD.

MEMBER : NSE, BSE & NSDL

Individual HUF Corporate

Registration For : NSE BSE DP

Client Name :

Branch Code :

Client Code :

Client ID :



Transparency & Trust.....Guaranteed

INDIAN FINANCE GUARANTY LTD.

(CIN : U67120DL1992PLC206959)

Member : National Stock Exchange of India Ltd. (Member ID: 08806)

Member : Bombay Stock Exchange Ltd. (Member ID: 6233)

(Capital Market, F&O and Currency Derivatives Segment)

SEBI Regn. No.: INZ000101139

Depository Participant : NSDL

SEBI Regn. No.: IN-DP-316-2017 • DP ID : IN303884

Registered Office :

8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005

Phone : +91-11-40078000, Fax : +91-11-40078006

E-mail : indianfinance@ifgl.info

Website : www.ifgl.info

Investor Grievance : cyberrajneesh@gmail.com

Compliance Officer's Details

Name : Mr. Rajneesh Kumar

Phone No. : 011-40078000

E-mail Id : compliance@ifgl.info

CEO Details

Name : Mr. Rajneesh Kumar

Phone No. : 011-40078025

E-mail Id : rajneesh@ifgl.info

For any grievance/dispute please contact **Indian Finance Guaranty Ltd.** at the above address or email id- **cyberrajneesh@gmail.com** and Phone No. +91-11-40078000. In case not satisfied with the response, please contact the concerned exchange at :

Exchange Name

National Stock Exchange of India Ltd. (NSE)

Bombay Stock Exchange Ltd. (BSE)

National Securities Depository Limited (NSDL)

E-mail ID

ignse@nse.co.in

is@bseindia.com

info@nsdl.co.in

Phone No.

022-26598190

022-22728097

022-24994200

ANNEXURE - 1
ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-5
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	6-9
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).	Given to the Client with Welcome Kit
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance Note	Documents detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedure of the stock broker.	10-13
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VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
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2.	Authorisation for Electronic Contract Notes / SMS Alerts / Authorisation	Authorisation for Electronic Contract Notes / SMS Alerts / Authorisation	16
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INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
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/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook - Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/ Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account Power of Attorney given by FII/sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse shall be acceptable, subject to the submission of proof of relationship alongwith the same.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.

5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	<ul style="list-style-type: none"> • 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	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/ Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

INSTRUCTIONS / CHECK LIST (for filling additional information related to trading account)

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

<ul style="list-style-type: none"> • Copy of ITR Acknowledgement • Copy of Annual Accounts • In case of salary income - Salary Slip, Copy of Form 16 	<ul style="list-style-type: none"> • Net Worth Certificate • Copy of Demat account holding statement. • Bank account statement for last 6 months 	<ul style="list-style-type: none"> • Any other relevant documents substantiating ownership of assets. • Self declaration with relevant supporting documents.
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2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

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



Important Instructions:

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

For office use only (To be filled by financial institution)

Application Type* New Update

KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

Prefix First Name Middle Name Last Name

Name* (Same as ID proof)

Maiden Name (If any*)

Father / Spouse Name*

Mother Name*

Date of Birth* DD - MM - YY YY

Gender* M- Male F- Female T-Transgender

Marital Status* Married Unmarried Others

Citizenship* IN- Indian Others (ISO 3166 Country Code)

Residential Status* Resident Individual Non Resident Indian Foreign National Person of Indian Origin

Occupation Type* S-Service (Private Sector Public Sector Government Sector) O-Others (Professional Self Employed Retired Housewife Student) B-Business X- Not Categorised

PHOTO

Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

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

A- Passport Number Passport Expiry Date DD - MM - YY YY

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date DD - MM - YY YY

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar) Voter Identity Card NREGA Job Card Others please specify

Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3 City / Town / Village*

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

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

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

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

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

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

A- Passport Number Passport Expiry Date --

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date --

E- UID (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

Date : -- Place :

 1/18 [Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **INDIAN FINANCE GUARANTY LTD.**

Code

[Institution Stamp]

KNOW YOUR CLIENT (KYC) Application Form - For Individual

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No. _____

IDENTITY DETAILS

Name of the Applicant _____

Father's / Husband's Name _____

Gender Male Female Marital status Single Married Date of Birth _____

Nationality Indian Other (Please specify) _____

Status Resident Individual Non Resident Foreign National

Permanent Account Number (PAN) _____

Aadhaar Number, if any: _____

Specify Proof of Identity submitted PAN card Other (Please specify) _____

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

ADDRESS DETAILS

Correspondence Address Residence Address

Residence / Correspondence Address _____

City / Town / Village _____ Pin Code _____

State _____ Country _____

Contact Details

Tel. (Off.) _____ Fax _____

Tel. (Res.) _____ Mobile No _____

E-Mail Id. _____

Specify the Proof of Address submitted for Residence / Correspondence Address: _____

Permanent Address (If different from above, mandatory for Non-Resident Applicant to specify overseas address)

City / Town / Village _____ Pin Code _____

State _____ Country _____

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.

Date _____

 2/18

Signature of the Applicant

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: **Indian Finance Guaranty Ltd.**

Date of IPV: _____ Signature of the person who has done the IPV _____

Seal/Stamp of the Intermediary

Originals Verified & Self Attested Document copies received

Date _____ Place : _____

Name & Signature of the Authorised Signatory

KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No. _____

IDENTITY DETAILS

Name of the Applicant _____

Date of Incorporation _____ Place of Incorporation _____

Date of commencement of business _____

Permanent Account Number (PAN) _____

Registration No. (e.g. CIN) _____

Status (Please tick any one)

Private Limited Co. Public Ltd. Co. Body Corporate Partnership

Trust Charities NGO's FI FII

HUF AOP Bank Government Body Non-Government Organization

Defense Establishment BOI Society LLP Others (Please specify) _____

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

ADDRESS DETAILS

Correspondence Address _____

City / Town / Village _____ Pin Code _____

State _____ Country _____

Contact Details

Tel. (Off.) _____ Fax _____

Tel. (Res.) _____ Mobile No _____

E-Mail Id. _____

Specify the Proof of Address submitted for Correspondence Address: _____

Registered Address (If different from above) _____

City / Town / Village _____ Pin Code _____

State _____ Country _____

OTHER DETAILS

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : _____
If space is insufficient, enclosed these details separately (illustrative format enclosed)

DIN OF Whole time directors : _____
If space is insufficient, enclosed these details separately (illustrative format enclosed)

AADHAR No. OF Promoters/Partners/Karta : _____
If space is insufficient, enclosed these details separately (illustrative format enclosed)

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I 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.

Date _____

3/18

Name & Signature of the Director/Authorised Signatory(ies)

FOR OFFICE USE ONLY

Originals Verified & Self Attested Document copies received

Name & Signature of the Authorised Signatory

Seal/Stamp of the Intermediary

Date _____ Place : _____

**Details of Promoters / Partners / Karta / Trustees and Whole Time Directors
forming a part of Know Your Client (KYC) Application Form for Non-Individuals**

Sr. No.	Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)	PAN	Residential / Registered Address	DIN of whole time directors / Aadhaar number of Promoters / Partners / Karta	Photograph
1.					DIN : UID :	
2.					DIN : UID :	
3.					DIN : UID :	
4.					DIN : UID :	
5.					DIN : UID :	

Name & Signature of the Authorised Signatory(ies)

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TRADING ACCOUNT RELATED DETAILS

(For Individuals & Non-Individuals)

A. OTHER DETAILS

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

Net Worth (Net worth should not be older than 1 year) Amount Rs.....
as on (date) (Compulsory for Non-Individuals)

- Occupation : Private Sector Public Sector Government Service Business Professional
(please tick any one and give brief details) Agriculturist Retired Housewife Student Others_____ Please Specify
- Please tick, if applicable : Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP)
- Any other information :

B. BANK ACCOUNT(S) DETAILS

Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

C. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

D. TRADING PREFERENCES

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

Stock Exchange	Market Segment/s	
NSE	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> 4(a)/18	<input type="checkbox"/> F&O <input checked="" type="checkbox"/> 4(b)/18
	<input type="checkbox"/> CDS <input checked="" type="checkbox"/> 4(c)/18	
BSE	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> 4(d)/18	<input type="checkbox"/> F&O <input checked="" type="checkbox"/> 4(e)/18

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

E PAST ACTIONS

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

F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:				
Sub-broker's Name				
SEBI Registration number				
Registered office address				
Ph.		Fax		Website
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)				
Name of stock broker				
Name of Sub-Broker, if any				
Client Code				Exchange
Details of disputes/dues pending from/to such stock broker/sub- broker				

G. ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Physical Contact Notes <input type="checkbox"/> Electronic Contract Note
Specify your Email id, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:	
Any other information	

H. INTRODUCER DETAILS (optional)

Name of the introducer	
Status of the Introducer	<input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

I. NOMINATION DETAILS (for individuals only)


<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate																			
Name of the Nominee																			
Relationship with the Nominee																			
PAN of Nominee	<table border="1"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																		
	Date of Birth of Nominee																		
Aadhaar of Nominee																			
Address and Ph. No. of the Nominee																			
If Nominee is a minor, details of guardian :																			
Name of the Guardian																			
Address and Ph. No. of Guardian																			
Sign. of Guardian																			

WITNESSES (Only applicable in case the account holder has made nomination)

Name		Name	
Signature		Signature	
Address		Address	

DECLARATION

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

 5/18 Signature of Client / All Authorized Signatory (ies)
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Place _____

Date

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

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Document 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 Indian Finance Guaranty Ltd.

Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

POLICIES AND PROCEDURES AS PER SEBI CIRCULAR NO. MIRSD/ SE /CIR-19/2009 DATED 3 DEC, 2009**1. Refusal of orders for penny/illiquid stock**

The stock broker may from time to time limit (quantity/value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker/exchange(s) /SEBI. Provided further that stock broker may require compulsory settlement/advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance/placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone. The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits (such as broker level/ market level limits in security specific/volume specific exposures etc.) , and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the

circumstances. The client agrees that the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate/ advise the parameters for the calculation of the margin/security requirements as rate(s)/percentage(s) of the dealings, through anyone or more means or methods such as post /speed post/courier/registered post/registered A.D/facsimile/ telegram/cable/e-mail/ voice mails/ telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/ displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department/the courier company /newspaper company and the e-mail/voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her/its position (dealings/trades and valuation of security) on his/her/its own and provide the required/deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin/security and that it shall be his/her/its responsibility to ascertain beforehand the margin /security requirements for his/ her /its orders/trades/ deals and to ensure that the required margin/security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she/it shall be responsible for all orders (including any orders that may be executed

without the required margin in the client's account) &/or any claim /loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker &/or exchange &/or SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin/security in one form with the margin/security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin &/or security required to be deposited/made available, from time to time.

The margin/security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include/appropriate any/all payout of funds &/or securities towards margin/security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds &/ or securities from his account for one exchange &/or one segment of the exchange to his/her/its account for another exchange &/or another segment of the same exchange whenever applicable and found necessary by the stock broker.

The client also agrees and authorises the stock broker to treat/adjust his/ her/its margin/security lying in one exchange &/or one segment of the exchange/towards the margin/security/pay in requirements of another exchange &/or another segment of the exchange.

The stock broker is entitled to disable/freeze the account &/or trading facility/any other service. facility, if, in the opinion of the stock broker, the client has committed a crime/fraud or has acted in contradiction of this agreement or/is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

3. Applicable brokerage rate

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- a. For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- b. For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby clarified that brokerage charged on options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

4. Imposition of penalty/delayed payment charges

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates not exceeding 2% p.m. as may be determined by the stock broker. The client agrees that the stock broker may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/ regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment/backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account/ transactions/services that the client avails from the stock broker.

5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account\ of non-payment of client's dues

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/ shortages at the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions/square off/closing outs etc., shall be solely to the account of the client and the client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin/security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (Le. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin/security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin/security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins/ securities pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds/securities.
- ii. To withhold/disable the trading/dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are pending delivery/ receipt.

- iv. To liquidate/square off partially or fully the position of sale &/or purchase in anyone or more securities/contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.

- v. To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

6. Shortages in obligations arising out of internal netting of trades

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

We have margin based RMS System. Client may take exposure upto the amount of margin available with us.

Client may not be allowed to take position in case of non-availability/ shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/non making of payment for their pay-in obligation/outstanding debts.

8. De-registering a client

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However notwithstanding any termination of the agreement, all transactions made under/pursuant to this agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

9. Policy regarding treatment of inactive accounts:

When Trade is not done in an account for more than 6 months, Stock Broker reserves the right to temporary suspend the operations. The Management may allow operations in such account after making such verification as it deems fit. The balance of securities/funds will be transferred to client after due verification.

Client Acceptance of Policies and Procedures stated hereinabove:

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended/changed unilaterally by the broker, provided the change is informed to me/us with through anyone or more means or methods such as post/speed post/courier/registered post/registered AD/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/ television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department/the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/ difference or claim between me/ us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/ mediator etc.

 6/18

Client Signature

BROKERAGE & STATUTORY CHARGES**Capital Market Segment**

Delivery Charges (in %age terms)	Minimum Delivery Charges per share (in Rs.)	Jobbing Charges (in %age terms)	Minimum Jobbing Charges per share (in Rs.)
_____ %	Rs. _____ /-	_____ %	Rs. _____ /-

Futures & Options Segment

Nature of Transaction	in %age terms	Minimum (per Unit)	Minimum (per Lot)
Futures	_____ %	Rs. _____ /-	Rs. _____ /-
Options	_____ %	Rs. _____ /-	Rs. _____ /-

Currency Derivatives Segment

in %age terms	Minimum (per Unit)	Minimum (per Lot)
_____ %	Rs. _____ /-	Rs. _____ /-

In Addition to brokerage additional charges including statutory levies i.e. stamp duty, exchange transaction charges, SEBI fee, service tax, STT, othr taxed and levies, investor protection fund fee etc. charged by the statutory authorities/Exchange(s), delayed payment charge, cheque bounce charges, auction settlement charges as may be applicable will be levied. For details please login on our website www.ifgl.info

I/We understand that economic condition change over time and therefore again that IFGL is authorized to change the tariff in future.

Signature of Client  7/18

DISCLOSURE INFORMATION

To,.....

Sir,

This is to inform you that we do client based trading and Pro-account trading.

Thanks and best regards,

Indian Finance Guaranty Ltd.

(Authorised Signatory)

I acknowledge receipt of your information that you do client based trading and Pro account trading.

Client Name :

Client Signature:  8/18

VOLUNTARY DOCUMENTS

RUNNING ACCOUNT AUTHORISATION

To,

Date :

Indian Finance Guaranty Ltd.

Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road,
Karol Bagh, New Delhi-110005

Dear Sir,

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 and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, the funds & securities can be transferred from one segment to other and from one exchange to another as per the requirements.
2. 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 the exchanges.
3. I/We request you to retain securities and funds lying to my/our credit in running accounts as margin/collateral/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
4. The stock broker is authorize to transfer funds &/ or securities from his/her/its account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary by the stock broker. The client also agrees and authorises the stock broker to treat / adjust his/ her / its margin / security lying in one exchange & /or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & /or another segment of the exchange.
5. I/We request you to settle my fund and securities account Once in every calendar Quarter or Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt.
6. I/We further authorize you to retain an amount of upto Rs. 10,000/- (net amount across segment and across stock exchanges) in order to avoid administrative/operational difficulties in settling my/our account. The same may be released on my/our specific request.

The running account authorization provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours Faithfully

9/18

Client Signature

Name :

[Note : To be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.]

AUTHORISATION FOR ELECTRONIC CONTRACT NOTES / SMS ALERTS

To,

Indian Finance Guaranty Ltd.

Dated : _____

Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005

Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the capital market and/or future & option/currency derivative segment(s). I/we am/are as a registered client of IFGL confirm as follows :

1. I/We am/are aware that the National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE) provide the details of trades executed on its trading platform to the concerned clients/constituents through SMS and/or e-mail alerts.
2. I/We hereby confirm that I/we wish to receive the trade alerts through (tick whichever is applicable)
 - a) SMS Alerts
 - b) E-mail Alerts
3. The alerts should be sent :
 - i. On my registered mobile number / email id as per your records, or
 - ii. You are requested to update the mobile/email id mentioned below in your records and for the purpose of trade alerts :
 - a) Mobile No.:.....
 - b) E-mail address

I/We hereby agree to the terms and conditions specified by the SEBI vide circular No. CIR/MIRSD/15/2011 dated August 2, 2011 and NSE & BSE vide circular no. NSE/INVG/19135 dated October 14, 2011 and 20111118-19 dated 18th November 2011 respectively and circulars / clarifications issued by SEBI / exchanges from time to time in this regard. I/We am/are aware that the recipient of SMS/Email alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Thanking you

Yours Faithfully

 10/18_____
Client Signature

Client Name _____ Client Code _____

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

To,

Indian Finance Guaranty Ltd.**AUTHORISATION****Regd. Office :** 8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005

Dear Sir,

I/We have been / shall be dealing through you as my / our broker on the Capital Market and/ or Futures & Options Segment and/or Currency Derivative Segments. This instruction is applicable for all the exchanges / segments in which I / we have opened account with you. I/ We understand that, I / we have the option to receive the contract notes in physical form / electronic form. In pursuance of the same, I/ we hereby opt for receipt of contract notes in physical form. I hereby authorize you to debit my account with Rs. 25 per contract note in addition to brokerage, STT or other statutory charges as stationary and postage charges.

Thanking you

Yours Faithfully

Client Signature  11/18

Client Name _____ Client Code _____

LETTER OF AUTHORITY

To,

Indian Finance Guaranty Ltd.

Dated : _____

Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005**Sub: Letter of Authority Cash/F&O/ Currency Derivative/Mutual Fund Segment of the Exchange**

I/we dealing with you as client at NSE/BSE in Cash, F&O and Currency Derivative Segment and in order to facilitate ease of operations, I/We authorise you as under :

1. I/We authorise you to set off outstanding in any of my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We hereby authorise you not to provide me/us Order Confirmation/ Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I/We hereby authorise you to keep all the securities which I/We have given you in margin including the payout securities received by us for meeting margin / order obligation in any of the stock exchanges in whatever manner which may include pledging of shares in favour of bank and / or taking loan against the same or meeting margin/ pay in obligation on my/our behalf or for giving the same as margin to the any of the Stock Exchanges or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or both the Exchanges unless I/We instruct you otherwise. I/we also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my behalf. I/We also authorise you to debit the financial charges @2% p.m., for the debit balances, if any, in my account and not settled as per the exchange requirements.
5. I/We request you to retain Securities in your demat account for my/our margin/future obligations at all Exchanges, unless I/We instruct you to transfer the same to my/our account.
6. I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give me/us all the confirmation on telephonic unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.
7. We request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address of _____ I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not disputed on the same.
8. I/We will inform you the change of my/our email: ID, if any, in future either by regd. Post or through a digitally signed e-mail.
9. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non-availability or malfunctioning of your System or Service for any reason whatsoever.
10. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
11. I/We am/are agreeable for inter-settlement transfer of securities towards settlement.
12. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
13. All fines/penalties and charges/Bank charges levied upon you due to my acts / deeds or transaction may be recovered by you from my account.
14. I have a Trading relationship with **Indian Finance Guaranty Ltd.** Please debit the charges relevant with depository services from my trading account on monthly basis. I also agree to maintain the adequate balance in my trading account/ pay adequate advance fee for the said reason.

Thanking you

Yours Faithfully

 12/18

 Client Signature

Client Name _____ Client Code _____

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]



FATCA & CRS Declaration - Individual

PAN Trading Code DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income Below Rs. 1 Lac Rs. 1 Lac to 5 Lac Rs. 5 Lac to 10 Lac
 Rs. 10 Lac to 25 Lac Rs. 25 Lac to 1 Crore > 1 Crore

Net Worth **Amount Rs.**..... Net Worth as on
 (Net worth should not be older than 1 year)

Occupational Business Private Sector Professional Government Service Public Sector
 Detail Agriculturist Housewife Student Retired Forex Dealer Others Pl. Specify

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

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

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

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

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Indian Finance Guaranty Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

13/18
 (Client Signature)

Date :

Place :

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

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Indian Finance Guaranty Ltd. branch or you can dispatch the hard copy to-

Indian Finance Guaranty Ltd.
8/28, 2nd Floor, W.E.A, Adbul Aziz Road,
Karol Bagh, New Delhi-110005

• For Detail Terms & Conditions please visit www.ifgl.info



Transparency & Trust.....Guaranteed

FATCA & CRS Declaration - Non Individual

PAN Trading Code DP Code

Name

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India Yes No

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

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

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

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

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

1.	We are a, Financial institution <input type="checkbox"/> (Refer 1 of Part C) or Direct reporting NFE <input type="checkbox"/> (Refer 3(vii) of Part C) (please tick as appropriate)	GIIN <input type="text"/> Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity _____ _____
	GIIN not available (please tick as applicable)	<input type="checkbox"/> Applied for <input type="checkbox"/> Not obtained – Non-participating FI <input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category <input type="text"/> (Refer 1 A of Part C)

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

1.	Is the Entity a publicly traded company (that is, a company whose shares are regularly traded on an established securities market) (Refer 2a of Part C)	Yes <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market) (Refer 2b of Part C)	Yes <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an active NFE (Refer 2c of Part C)	Yes <input type="checkbox"/> Nature of Business _____ Please specify the sub-category of Active NFE <input type="text"/> (Mention code – refer 2c of Part C)
4.	Is the Entity a passive NFE (Refer 3(ii) of Part C)	Yes <input type="checkbox"/> Nature of Business _____

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

Category (Please tick applicable category):

<input type="checkbox"/> Unincorporated association / body of individuals	<input type="checkbox"/> Unlisted Company	<input type="checkbox"/> Partnership Firm	<input type="checkbox"/> Limited Liability Partnership Company
<input type="checkbox"/> Others (please specify _____)	<input type="checkbox"/> Public Charitable Trust	<input type="checkbox"/> Religious Trust	<input type="checkbox"/> Private Trust

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

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

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

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

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

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

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

DECLARATION

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform Indian Finance Guaranty Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

Name

Designation

 14/18
(Client Signature)

Date :

Place :

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

Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest Indian Finance Guaranty Ltd. branch or you can dispatch the hard copy to-

Indian Finance Guaranty Ltd.
8/28, 2nd Floor, W.E.A, Adbul Aziz Road,
Karol Bagh, New Delhi- I 10005

• For Detail Terms & Conditions please visit www.ifgl.inco

DECLARATION OF HUF (To be filled in case of HUF A/c Only)

To,

Dated : _____


Indian Finance Guaranty Ltd.

Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road,
Karol Bagh, New Delhi-110005

As our HUF firm wishes to open an account with you in the said name.....we beg to say that the first signatory to this letter, i.e., is the Karta of the Joint Family and other signatories are the adult co-parceners of the said family.

We further confirm that the business of the said joint family is carried on mainly by the said Karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the exchange from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the Karta, including the share of minor co-parceners In view of the fact that ours is not a firm governed by the Indian Partnership Act of 1952, we have not got our said firm registered under the said Act.

We hereby undertake to inform you the death or birth of a co-parcener of any change occurring at any time in the membership of our joint family during the operating of the account

 15/18


Signature of Karta (with Rubber Stamp)

Name of Signature of Adult Co-Partionors of HUF (Use Annexure of additional Members)						
Sr. No.	Name of Co-partionors of HUF	Gender (M/F)	Relationship with Karta	Date of Birth	PAN No.	Signature
1.						
2.						
3.						
4.						

Name of Minor Co-Partionors of HUF (Use Annexure of additional Members)				
Sr. No.	Name of Co-partionors of HUF	Gender (M/F)	Relationship with Karta	Date of Birth
1.				
2.				
3.				
4.				

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this application to open an account. I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action.

Thanking you,

 16/18

Signature of Karta (with Rubber Stamp)

**FORMAT OF BOARD RESOLUTION TO BE GIVEN BY CORPORATE CLIENT
(TO BE PRINTED ON LETTER HEAD OF COMPANY)**

**CERTIFIED TRUE COPY OF EXTRACTS OF THE MINUTES OF THE MEETING OF THE BOARD
OF DIRECTORS OF _____ (Co. Name) CONVENED ON
THE _____ (date) / TIME AT _____
_____ (Venue)**

"RESOLVED THAT an account for the purpose of trading in Securities be opened with M/s. **Indian Finance Guaranty Ltd.**, Member - National Stock Exchange of India Ltd. / Bombay Stock Exchange Ltd., hereinafter referred to as the Broker, for undertaking sale & purchase of Securities on the said exchange(s).

FURTHER RESOLVED THAT Shri _____ and Shri _____, Directors of the Company, be and are hereby, authorised severally to do all such acts, deeds, things and sign all documents papers, authorisations, agreements etc. as may be necessary for opening and operating the said account with Broker.

FURTHER RESOLVED THAT the aforementioned Directors, be and are hereby, authorised severally, to give instructions on behalf of the Company. for conducting trading in securities for and on behalf of the Company.

FURTHER RESOLVED THAT, a copy of this resolution be forwarded to the Broker by Shri _____ or Shri _____ Directors, & the Broker, be instructed to honour the instructions of Shri _____ and / or Shri _____, Directors of the Company to carry on trading in Securities.

Certified true copy

For (Name of the Company)

Dated :

Director

Place :

FORMAT OF DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

To,
Indian Finance Guaranty Ltd.
Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road,
Karol Bagh, New Delhi-110005

Date _____

Dear Sir,

We refer to the trading account being opened / opened with you in the name of _____ and declare and authorise you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per applicable law. To facilitate the operation of the above trading account with you and for the purpose of completing the Securities transfer obligations pursuant to the trading operations, we authorise you to recognize the beneficiary account No. _____ with depository _____ opened as a joint account in the names of the partnership of the firm.

We agree that the obligations for Securities purchased and/or sold by the firm will be handled and completed through transfer to/from the above mentioned account. We recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above Securities trading account of the firm.

We hereby authorize _____, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as may be necessary to enter into the agreement and engage in business with **Indian Finance Guaranty Ltd.**, and to place order for buying and selling of Securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership and to sign the authority letter for adjustment of balances in family accounts.

Name of Partners (in block letters)	Signature

ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION

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

PREVENTION OF MONEY LAUNDERING

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number CIR/ISD/AML/3/2010 dt. 31/12/10 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Section 12 of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

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


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

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

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

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

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

 17/18

Client Signature

Name : Date.....

DECLARATION - CUM - UNDERTAKING**घोषणा**

मैं.....यह घोषणा करता हूँ कि मैंने Indian Finance Guaranty Ltd. में अपना ट्रेडिंग खाता खोला है। उसके लिए मैंने एकाउन्ट ओपनिंग फार्म और विभिन्न कागजात पर हस्ताक्षर किये हैं जोकि अंग्रेजी भाषा में है। मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं Indian Finance Guaranty Ltd. के नियम व शर्तों से सहमत हूँ।

मैं..... सुनिश्चित करता/करती हूँ कि मुझे Indian Finance Guaranty Ltd. में मेरा ट्रेडिंग खाता खोलने के उपरान्त Uniform Risk Disclosure, Rights and Obligations of Member, Authorized Person and Clients एवं मेरे द्वारा निष्पादित अन्य दस्तावेजों की एक प्रतिलिपि मुझे प्राप्त हो गई है।

दिनांक :

स्थान :

 18/18

हस्ताक्षर



Transparency & Trust.....Guaranteed

DEPOSITORY DIVISION

DP : NSDL

Depository Participant : NSDL
SEBI Regn. No.: IN-DP-316-2017 • DP ID : IN303884
CIN : U67120DL1992PLC206959

DP ID							
I	N	3	0	3	8	8	4

CLIENT ID							

Captured by : Name..... Signature.....

Verified by : Name..... Signature.....

PLEASE READ THE INSTRUCTIONS BEFORE FILLING THE FORM

- Please fill up all information in Capital Letters.
- Please ensure that all the columns of demat registration form are duly filled and no box or space is left blank. Please strike off whichever is not applicable.
- Please write your Name & DOB as it appears on PAN Card.
- Please countersign on any overwriting/ correction/ cancellation.
- Pin Code is compulsory in address details.
- E-mail address is compulsory in the form.
- Please affix full sign
- Please note that the names and Signature of the account holders should be exactly in the same order as mentioned on the certificates to be dematerialized.
- Please note that the thumb impression and signature other than English or Hindi or any of the other languages not contained in the 8th schedule of constitution of India, must be attested by a Magistrate or a Notary Public or a special Executive Magistrate.
- Please ensure all documents/ supporting are self attested and are verified by our officials after comparing the same with original.
- Please provide a copy of cancelled cheque for MICR verification (mandatory).
- Please make upfront payment of AMC & advance as per scheme opted.
- Please note that all communications shall be sent at the address of FIRST HOLDER only.
- Copy of PAN Card shall be clearly visible and self attested.
- To help us serve you better, your Telephone No./ Mobile No. should be provided including relevant STD/ ISD code.

INDEX OF DOCUMENTS

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Depository Account Opening Form	Documents captures the additional information about the constituent relevant to DP account and an instruction / checklist.	1-5
2.	POA for Pay-in Securities for the purpose of Settlement	POA for Pay-in Securities for the purpose of Settlement	6-7
3.	Voluntary Additional Terms & Condition for availing Depository Services	Additional Terms & Conditions for availing depository services.	8
4.	Authority Letter to Pledge the Securities	Document authorizing stock broker to pledge client's securities lying towards margin / collateral.	8
5.	Declaration by Client	Declaration by Client for BSDA Service	9
6.	Schedule of Charges for DP	Schedule of Charges for Depository Services	10
7.	Electronic Clearing Service	Electronic Clearing Service (Debit Clearing Mandate Form)	11
8.	Loan Application Form	Loan Application Form	12
9.	Right and Obligations	Rights and Obligations of Beneficial Owner and Depository Participant	13-14

APPLICATION FOR OPENING DEPOSITORY ACCOUNT (FOR INDIVIDUAL/HUF/NON-INDIVIDUAL ONLY)



Transparency & Trust.....Guaranteed

INDIAN FINANCE GUARANTY LTD.

(DEPOSITORY PARTICIPANT - NSDL) DP ID : IN303884

SEBI REGISTRATION NO.: IN-DP-316-2017 • (CIN : U67120DL1992PLC206959)

Registered Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005

Phone : +91-11-40078000, Fax : +91-11-40078006 • E-mail : indianfinance@ifgl.info, Investor Grievance : cyberrajneesh@gmail.com

(To be filled by the Depository Participant)

Client ID																					Date	D	D	M	M	Y	Y	Y	Y
-----------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	------	---	---	---	---	---	---	---	---

I/We request you to open a depository account in my/our name as per following details :
(Please fill all the details in CAPITAL/BLOCK LETTERS only)

A. DETAILS OF ACCOUNT HOLDER(S)

Account Holder(s)	Sole/First Holder	Second Holder	Third Holder
Name			
Father/Husband Name			
Address			
Mobile No.			
Separate Mobile No.	<input type="checkbox"/> Me or <input type="checkbox"/> My Family	<input type="checkbox"/> Me or <input type="checkbox"/> My Family	<input type="checkbox"/> Me or <input type="checkbox"/> My Family
Telephone No.			
E-mail Id			
Separate E-mail Address	<input type="checkbox"/> Me or <input type="checkbox"/> My Family	<input type="checkbox"/> Me or <input type="checkbox"/> My Family	<input type="checkbox"/> Me or <input type="checkbox"/> My Family
PAN			
Aadhaar No.			
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pl. Specify)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pl. Specify)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Govt. Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Pl. Specify)
Brief Details			

B. For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below :

Name																					PAN																		
------	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

C. TYPE OF ACCOUNT

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter	<input type="checkbox"/> HUF
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> NRI-Non Repatriable	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Others (Specify) _____	
<input type="checkbox"/> Body Corporate	<input type="checkbox"/> FI	<input type="checkbox"/> FII	<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Mutual Fund
<input type="checkbox"/> Trust	<input type="checkbox"/> Bank	<input type="checkbox"/> CM	<input type="checkbox"/> Others (Specify) _____	

D. INCOME DETAILS (please specify)

Income Range per annum (please tick any one)		Networth								
<input type="checkbox"/> Below Rs. 1 Lac	<input type="checkbox"/> Rs. 25 - 50 Lac	Amount Rs. _____								
<input type="checkbox"/> Rs. 1 - 5 Lac	<input type="checkbox"/> Rs. 50 - 1 Crore	As on (Date)								
<input type="checkbox"/> Rs. 5 Lac - 10 Lac	<input type="checkbox"/> Above Rs. 1 Crore	<table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y			
<input type="checkbox"/> Rs. 10 Lac - 25 Lac		(Networth should not be older than 1 year)								

E. In Case of NRIs/Foreign Nationals/FIIs/Others (as may be applicable)

RBI Approval Reference Number		RBI Approval Date	D	D	M	M	Y	Y	Y	Y
SEBI Registration Number (For FIIs)										

F. BANK DETAILS

1.	Bank Account Type	<input type="checkbox"/> Saving A/c <input type="checkbox"/> Current A/c <input type="checkbox"/> Other (Pl. Specify) _____								
2.	Bank Account Number									
3.	Bank Name									
4.	Branch Address									
		City/Town/Village				Pin Code				
		State				Country				
5.	MICR Code									
6.	IFSC									

G.	Please tick, if applicable, for any of your authorized signatories/ Promoter/Partners/ Karta/Trustees/whole time directors :	<input type="checkbox"/> Politically Exposed Person (PEP)
		<input type="checkbox"/> Related to Politically Exposed Person (RPEP)

H. CLEARING MEMBER DETAILS (to be filled up by Clearing Members only)

1.	Name of Stock Exchange	
2.	Name of Clearing Corporation/Clearing House	
3.	Clearing Member ID	
4.	SEBI Registration Number	
5.	Trade Name	
6.	CM-BP-ID (to be filled up by Participant)	

I. STANDING INSTRUCTIONS

1.	I/We authorise you to receive credits automatically into my/our account	<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]		
	Sr. No.	Holder	
	1.	Sole / First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	2.	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
	3.	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Mode of Receiving Statement of Account (Tick any one)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read Note 4 and ensure that email ID is provided in KYC Application Form)	
5.	Mode of Receiving Right & Obligations (Tick any one)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form	
6.	Option to received Annual Reports, AGM Notice and other communication from broker. (Tick any one)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form	
7.	Standing Instruction for Auto Pledge confirmation by Pledgee (Tick any one)	<input type="checkbox"/> Yes [Read Note 18] <input type="checkbox"/> No	

J. GUARDIAN DETAILS (where sole holder is a minor) :

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

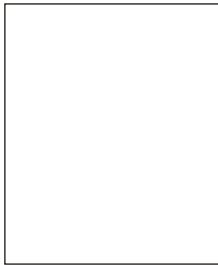
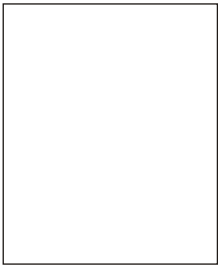
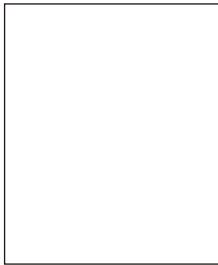
Guardian Name											
PAN											
Relationship of Guardian with Minor											

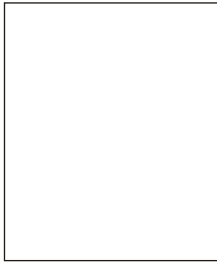
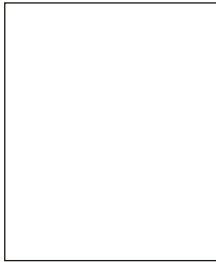

K. NOMINATION OPTION

<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]	<input type="checkbox"/> I/We do not wish to make a nomination. [Strike off the nomination details below]
--	--

NOMINATION DETAILS

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

Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the nominee(s) Mr./Ms.)			
2.	Share of each Nominee	Equally [If not equally, please specify percentage]	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3.	Relationship with the Applicant (if any)			
4.	Address of Nominee(s)			
	PIN Code			
5.	Mobile/Telephone No. of Nominee(s)			
6.	Email ID of nominee(s)			
7.	Nominee Identification details [Please tick any one of following and provide details of same]			
<input type="checkbox"/>	Photograph			
<input type="checkbox"/>	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			




Sr. Nos. 8-14 should be filled only if nominee(s) is a minor :				
8.	Date of Birth (in case of minor nominee(s))			
9.	Name of Guardian (Mr./Ms.) (in case of minor nominee(s))			
10.	Address of Guardian(s)			
	PIN Code			
11.	Mobile/Telephone No. of Guardian			
12.	Email ID of nominee(s)			
13.	Relationship of Guardian with nominee			
14.	Guardian Identification details - [Please tick any one of following and provide details of same]			
<input type="checkbox"/>	Photograph			
<input type="checkbox"/>	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			

Signature of Witness for Nomination									
Name of the Witness	Address of Witness				Signature of Witness				
	Date	D	D	M	M	Y	Y	Y	Y



DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document "Right and Obligations of the Beneficial Owner & Depository Participant".

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)

Holder	Name	Signature
Sole / First Holder / Guardian (Mr./Ms.) (in case of Minor) / Authorised Signatory		
Second Holder/ Authorised Signatory		
Third Holder/ Authorised Signatory		

Other Holders

Second Holder		
Third Holder		

Mode of Operation for Sole/First Holder (in case of joint holdings, all the holders must sign)

<input type="checkbox"/> Any one singly	
<input type="checkbox"/> Jointly by	
<input type="checkbox"/> As per resolution	
<input type="checkbox"/> Others (Pl. Specify)	

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.
- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.
- For Separate Mobile No. & E-mail address 'Family' is defined as self, spouse, dependent children and dependent parents.
- I/We have read and understand the Securities and Exchange Board of India's Guidelines on pledging of shares in dematerialized form as regulated by SEBI (Depositories and Participants) Regulations, 1996 and Depositories Act, 1996.

POWER OF ATTORNEY FOR PAY-IN OF SECURITIES FOR THE PURPOSE OF SETTLEMENT

This Power of attorney is executed on this.....day of.....(Month) 20..... between Mr./Ms./M/S.....S/oD/o of..... residing at/having registered office at..... as **One Part,**

AND

M/s. **Indian Finance Guaranty Ltd.** (hereinafter referred to as "IFGL"), a Company duly incorporated under the Companies Act, 1956 and having its Registered Office at **8/28, 2nd Floor, W.E.A, Abdul Aziz Road, Karol Bagh, New Delhi-110005** as the **Second Part,**

RECITALS

WHEREAS IFGL is providing various securities related services which inter alia includes but is not limited to transactions in connection with purchase or sale of securities scripts, stocks etc. Whereas IFGL is a member of National Stock Exchange of India Ltd./Bombay Stock Exchange Ltd. bearing SEBI Registration No. INZ000101139.

WHEREAS I/We hold a Beneficiary account, Client ID/BO ID..... with **Indian Finance Guaranty Ltd.**, a Depository Participant (DP-ID IN303884) (hereinafter referred to as "IFGL (DP)" in order to avail the various services being offered IFGL.

NOW THESE PRESENTS WITNESSES THAT I/We do hereby jointly and severally nominate, constitute and appoint IFGL, acting through their respective Director(s), employees or such other person as may be authorized by them by way of Resolution, whether passed in a meeting of the Board of Directors or any Committee formed by the Board, for the aforesaid and various other purposes, as my/our true and lawful attorney to do, executed and perform severally the following acts, deeds, matters and things :

Now Know I/We all and these presents witness that I/We the above mentioned named do hereby nominate constituent and appoint **Indian Finance Guaranty Ltd.** as my/our lawful attorney (hereinafter to as "the attorney") for me/us and on my/our behalf and in my/our name to instruct the aforesaid Depository Participant to (i) transfer of securities held in my/our aforesaid account towards stock exchange related margin/delivery obligations arising out of trades executed by me/us through the same Stock Broker. (ii) pledge the securities in favour of Stock Broker for the limited purpose of meeting the margin requirements in my/our account in connection with the trades executed by me/us on the Stock Exchange through the same Stock Broker.

To instruct the IFGL (DP) to debit securities and/or to transfer securities from the aforementioned Beneficiary Account to the Pool Account of IFGL as mentioned herein below for the purpose of delivering the same to the Clearing Corporation of the aforesaid Stock Exchanges towards any segment in respect of the securities sold by me/us through them (Including pay in/pay out due to exercise of rights by IFGL over securities considered as margin/collateral/security)

I/We hereby confirm the list of demat accounts where securities can be moved are :

NSDL POOL NSE - 10011800	NSDL POOL BSE - 10011818
MARGIN ACCOUNT - 10011834	MARGIN ACCOUNT - 10011834
CM BP ID (NSE) - IN567818	CM BP ID (BSE) - IN657432

Further POA executed by me/us provide:-

- That Stock Broker would return to me/us the Securities that may have received erroneously or those securities that it was not entitled to receive from me/us.
- That I/We authorizing the Stock Broker/Depository Participant to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/Email on my/our request, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

The authority is restricted to the Pay-in obligations arising out of the transactions of sale affected by me/us though M/s **Indian finance Guaranty Ltd.** and I ratify the instructions given by the aforesaid Clearing Member to the Depository Participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by the Power of Attorney shall continue until I/We have given to the Depository Participant, a notice in writing for withdrawing the same.

I DO HEREBY for myself, my heirs, executors and administrators do hereby agree to ratify, confirm and validate all the whatsoever my said Attorney shall do or purport to do or cause to be done by virtue of these presents.

This Power of Attorney shall be subject to the Jurisdiction of the Courts in Delhi.

SIGNED AND DELIVERED By

Name _____ Signature _____

Name _____ Signature _____

I/We Accept
For **Indian Finance Guaranty Ltd.**
8/28, 2nd Floor, W.E.A., Abdul Aziz Road,
Karol Bagh, New Delhi-110005

In presence of

1. Witness

Name _____

Address _____

2. Witness

Name _____

Address _____

VOLUNTARY ADDITIONAL TERMS & CONDITIONS FOR AVAILING DEPOSITORY SERVICES

1. The Client shall immediately notify the Depository Participant in writing if there is any change in client's personal information for example contact phone and mobile numbers, communication address, permanent address, income details, along with requisite supporting wherever required.
2. Client to please ensure taking written acknowledgement while submitting any document to Depository Participant's Officer, example being Delivery Instructions Slips, Demat Requests, Profile Change Request, and Requisition Slip/Request for Issuance of Booklet etc. Depository Participant shall not be in position to help in absence of written acknowledgement if client suffers damages and losses.
3. Depository Participant may re-verify / confirm through alternate means (say be telecalling) the authenticity of any instruction like Delivery Instruction Slip, Dematerialization request, Issuance of Delivery Instruction Booklet etc. received / submitted by client's messenger, or received by depository participant through circular or any other means of communication.
4. Depository Participant provides online access through its web portal for which client has been provided a secured login and password, so that client is able to view holdings, transaction statement bills, dues and other details. Depository Participant further sends this holding/transaction and ledger statement to client's registered address or through electronic means to client's registered email ID. Client must verify his/her account details on regular basis and review his/her account status and in case of discrepancy is observed client shall immediately brought to the notice of the Depository Participant to as to enable the Depository Participant to take required remedial action as may be possible.
5. If client avails any additional service for which charges have not been decider before hand in schedule of charges, the Depository Participant has the right to charge alongwith separate intimation to the client.

Client confirms having read & accepted the terms & conditions of this documents titled "VOLUNTARY ADDITIONAL TERMS & CONDITIONS FOR AVAILING DEPOSITORY SERVICES" and agrees to be bound by all of them.

 2

Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

AUTHORITY LETTER TO PLEDGE THE SHARES

To,

Indian Finance Guaranty Ltd.

Dated : _____

Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005

Dear Sir,

I/We have been/shall be dealing through Indian Finance Guaranty Ltd. as my/our broker on the capital market and/or future & option/ currency derivative segment(s).

I/We hereby authorize IFGL to pledge my/our securities lying with if as margin collateral with third parties such as Banks to meet the settlement / margin obligation on my/our behalf as required from time to time.

I/We would further like to mention that IFGL shall be entitled to invoke pledge at its absolute discretion at any point of time without giving any prior intimation to me/us to meet settlement obligation for my/our trading activities undertaken through IFGL.

I/We understand that securities provided me/us in this regard should be my/our absolute property and are encumbered.

 3

Client Signature

Client Name _____ Client Code _____

DECLARATION BY CLIENT

I/ We the sole holder / Joint holder in the demat account number _____ hereby declare that :

- I/We wish to Open / Convert this demat account under BSDA Category.
(Subject to Terms and Condition related to BSDA)
- I/We do not wish to Open / Convert this demat account under BSDA Category.
Open / Convert this account as under :
- Normal AMC Lifetime AMC

I/ We acknowledge the receipt of copy of DP Tariff. The Terms and Conditions related to the DP Tariff in force, Pertaining to the demat account have been read and understood by me/us. I/We agree to abide by and to be bound by the terms and conditions.

 4

Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

ACKNOWLEDGEMENT

To,

Indian Finance Guaranty Ltd.

Dated : _____

Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road,
Karol Bagh, New Delhi-110005

DP ID : IN303884

Received the application from Mr./Ms. _____ at the Sole/First

holder alongwith _____ and

_____ as the second and third

holder respectively for opening of a depository account. Please quote DP ID & Client ID allotted to your future correspondence.

Participant Stamp & Signature



INDIAN FINANCE GUARANTY LTD.

(DEPOSITORY PARTICIPANT - NSDL) DP ID : IN303884

SEBI REGISTRATION NO.: IN-DP-316-2017

Registered Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005

Phone : +91-11-40078000, Fax : +91-11-40078006 • E-mail : indianfinance@ifgl.info, Investor Grievance : cyberrajneesh@gmail.com

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SCHEDULE OF CHARGES - NSDL ACCOUNT

Nature of Service		Charges	
		Annual Scheme	Life Time Scheme
Account Opening Charges		Nil	Nil
Maintenance Charges		Rs. 300/-, (Rs. 1000/- for Corporate)	Rs. 1200/-, (Rs. 2000/- for Corporate)
Advance Payment		Rs. 200/- (adjustable against billing)	
Transaction Charges			
Delivery	Off Market Transaction	Rs. 20/- per Instruction or 0.02% of transaction Value Whichever is higher	
	Market Transaction	Rs. 20/- per Instruction or 0.015% of transaction Value subject to maximum of Rs. 100/- Whichever is higher	
Receipt		Nil	
Pledge Creation		Rs. 50/- per Instruction	
Pledge Closure		Rs. 50/- per Instruction	
Pledger Invocation		Rs. 50/- per Instruction	
Dematerialisation		Rs. 25/- per Demat request form and there after Rs. 3/- per certificate plus courier charges of Rs. 40/- for local and Rs. 60/- for out station and there after every 25 certificate and part thereof.	
Rematerialisation		Rs. 25/- for first hundred and after first hundred Rs. 15/- for every hundred securities	
Instruction Booklet		Rs. 2/- per leaf plus courier charges	

Notes :

- The Depository Participant shall reserve the revise the charges by giving not less than 30 days notice in writing to the client.
- Value of Transaction will be in accordance with the Depository formulae.
- Modification in client details Rs 25/- per
- AMC will be charged in advance at the time of opening the account.
- Maintenance charges taken for account, open under an LIFE TIME Maintenance scheme is non-refundable.
- Any service not listed above will be charged extra.
- Rejection charges on failure of delivery instruction, Rs 20/- per instruction.
- Off-Market instruction not received prior to 24 hours of execution will be received at client's risk. However no extra charges will be levied.
- Instructions for pay-in of Securities to transfer securities from client account to CM pool account. Inter-settlement Instruction, CM Pool to CM Pool transfer and delivery instruction, will be accepted up till 4:00 PM on the working day prior to pay-in date.
- Non periodic statement shall be charged @Rs. 2/- per page and postage/courier charges @30/- per mail.
- In case of non-payment of bill/dues within 30 days of due date, interest shall be charged @2.0% per month on the outstanding dues.
- Rs. 100/- will be charged to client in case of New Delivery Instruction Booklet is requested without requisition slip.

(All charges are exclusive of GST. Taxes and other Government levies will be charges extra as applicable from time to time.)

"As per SEBI Circular No. CIR/MRD/DP/22/2012 dated 27th August 2012, all client who are willing to hold only one demat account as first holder and whose DP holding valuation will be maintained below Rs. 2 Lac. Is eligible to opt for BSDA (Basic Services Demat Account) subject to terms and conditions mentioned by SEBI. To opt BSDA scheme please sign a separate scheme sheet which can be obtained from our office."

Please open my account under LIFE TIME Maintenance scheme (Applicable from the date of realization of LIFE TIME Maintenance charges, otherwise the account will be considered under the regular AMC schemes)

HOLDER'S SIGNATURES :

5

Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

FOR INDIAN FINANCE GUARANTY LTD.

⊗
(Authorised Signatory)

INDIAN FINANCE GUARANTY LTD. DEPOSITORY DIVISION

A/c No. Details :-

S.No.	Name (s)	Depository Account No. (s)

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING MANDATE FORM)

1. Name(s) : _____
2. Bank Name : _____
- A) Branch Name : _____
- B) 9-Digit MICR Code* : _____
- C) Account Type S.C. A/c (Code 10) Current A/c (Code 11) Cash Credit (Code 13)
- D) Ledger No./Folio No. _____ Account No. _____

***Applicant on the MICR Cheque Issued by the Bank (Please attach the Photocopy of a Cheque or a Bank Cancelled Cheque issued by your Bank for verifying the accuracy of the Code Number)**
I, hereby declare that the particulars given above are correct and complete. If the transactions is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : _____  Signature of the Applicant

INDIAN FINANCE GUARANTY LTD. DEPOSITORY DIVISION

A/c No. Details :-

S.No.	Name (s)	Depository Account No. (s)

ELECTRONIC CLEARING SERVICE (DEBIT CLEARING MANDATE FORM)

1. Name(s) : _____
2. Bank Name : _____
- A) Branch Name : _____
- B) 9-Digit MICR Code* : _____
- C) Account Type S.C. A/c (Code 10) Current A/c (Code 11) Cash Credit (Code 13)
- D) Ledger No./Folio No. _____ Account No. _____

***Applicant on the MICR Cheque Issued by the Bank (Please attach the Photocopy of a Cheque or a Bank Cancelled Cheque issued by your Bank for verifying the accuracy of the Code Number)**
I, hereby declare that the particulars given above are correct and complete. If the transactions is delayed or not effected at all for reasons of incomplete or incorrect information, I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date : _____  Signature of the Applicant

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : _____
The Branch Manager

.....
.....

Dear Sir,
I/We _____ residing at _____ a _____ Account No. _____ with your branch.

I/We hereby authorise the Bank to debit all types of commission / fees (Service Charges) payable by me / us and charged by **INDIAN FINANCE GUARANTY LTD.** Through the ECS (Debit clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED AT _____ (place), this _____ (day) of _____ (month) _____ Year

Signature _____ Name _____

Signature _____ Name _____

Signature _____ Name _____

BANK CERTIFICATION (Not required if photocopy of the cheque is enclosed).

Certified that the particulars furnished above are correct as per our records.

Bank's Stamp :

Date : _____
The Branch Manager

.....
.....

Dear Sir,
I/We _____ residing at _____ a _____ Account No. _____ with your branch.

I/We hereby authorise the Bank to debit all types of commission / fees (Service Charges) payable by me / us and charged by **INDIAN FINANCE GUARANTY LTD.** Through the ECS (Debit clearing) facility to my bank account with you. I/We undertake the sufficient balances shall be maintained by me/us, so that the right of the Bank to debit the Service Charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

SIGNED AT _____ (place), this _____ (day) of _____ (month) _____ Year

Signature _____ Name _____

Signature _____ Name _____

Signature _____ Name _____



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INDIAN FINANCE GUARANTY LTD.

(DEPOSITORY PARTICIPANT - NSDL) DP ID : IN303884

SEBI REGISTRATION NO.: IN-DP-316-2017 • (CIN : U67120DL1992PLC206959)

LOAN APPLICATION & CLIENT REGISTRATION FORM

Dear Sir,

Application No. _____

Application For : Loan Against Shares IPO Financing Margin Funding ESOP Financing Promoter Funding
 Unsecured Loan Others (Pl. Specify) _____

Amount / Limit Facility : Rs. _____ Tenure _____ Months
(Rupees _____ only)

End use of funds _____

FIRST HOLDER APPLICANT DETAILS

Name of Applicant			
Father/Spouse Name			
Mother Name			
PAN	Date of Birth	Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female
	Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married	
Aadhaar			
Nationality			
Residential Address			
City/Town/Village	Pin Code		
State	Country		
Contact Details	Mobile:	Tel. (Res.)	
Tel. (Off.)		Email Id	
Annual Income Range	<input type="checkbox"/> Between 5 to 10 Lacs <input type="checkbox"/> Between 10 to 25 Lacs <input type="checkbox"/> Between 25 to 50 Lacs <input type="checkbox"/> Between 50 to 100 Lacs <input type="checkbox"/> Above 100 Lacs		
Occupation	<input type="checkbox"/> Employed <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Business <input type="checkbox"/> Housewife <input type="checkbox"/> Others (Please specify _____)		

BANK ACCOUNT DETAILS (Through which transaction would be generally routed, for release on closure of loan)

Bank Name	HDFC BANK LIMITED		
Branch Address			
Account No.	Account Type	Current Account	
MICR Code	IFSC Code		

DEPOSITORY ACCOUNT DETAILS (Through which transaction would be generally routed, for release on closure of loan)

DP Name	INDIAN FINANCE GUARANTY LTD.		
Depository	NSDL		
Beneficiary Name			
DP ID	IN303884	BO ID	

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI & DEPOSITORIES

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/ Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "*no charges are payable for opening of demat accounts*"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/ notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.

10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/ Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner

shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and/or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

I/We acknowledge the receipt of copy of the "Rights and Obligations of the Beneficial Owner and Depository Participant".

Signature of Account Holder(s)

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Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE :	BRANCH CODE :	CLIENT CODE
ACCOUNT OPENING DATE : TM DP	GROUP CODE :	TM : DP :

I.	CHECKING DETAILS	YES/NO	REMARKS
a)	Name as it appears on the ID & Address Proof (in capital letter)		
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>		
c)	Signature Checked and Verified.		
d)	Photograph (duly signed) <input type="checkbox"/>		
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>		
f)	Address Proof (Self Attested) <input type="checkbox"/>		
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>		
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>		
j)	Brokerage : Intra Day _____ Min _____ Delivery _____ Min _____ F & O Intra Day _____ EOD _____ Option _____		
k)	Exchange given : <input type="checkbox"/> NSE CM <input type="checkbox"/> BSE CM <input type="checkbox"/> NSE F&O <input type="checkbox"/> BSE F&O <input type="checkbox"/> NSE Currency		
2.	Franchisee and Client to be informed if any of the above detail is missing or invalid by _____ Date _____ Time _____		
3.	Details Punched in Computer by TM _____ DP _____		
4.	Cross Checking done by TM _____ DP _____		
5.	UCC UPLOADED : <input type="checkbox"/> NSE <input type="checkbox"/> BSE <input type="checkbox"/> ENTERED IN FORM DATA		
6.	BACK OFFICE WEB LOGIN User Name ID _____ Password _____		
7.	Form sent to Surveillance by _____ Date : _____ Time : _____		
8.	Client ID Mapping done by _____ Branch ID _____ User ID: _____ Dealer ID : _____		
9.	INTERNET TRADING <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net User ID _____ Password _____		
10.	Form sent to DP by _____ Date : _____ Time : _____		
11.	Client Account Status Report issued by _____		
12.	Form Returned to Compliance by _____ Date : _____ Time : _____		
13.	Kit Dispatched on _____ (Date)		

OUR SERVICES

- Equities
- Derivatives
- Currency Derivatives
 - IPO's
- Online Trading
- Bonds

INDIAN FINANCE GUARANTY LTD.

(CIN : U67120DL1992PLC206959)

Member : NSE & BSE (Capital Market, F&O and Currency Derivatives Segment)
SEBI Regn. No.: INZ000101139

Depository Participant : NSDL
SEBI Regn. No.: IN-DP-316-2017 • DP ID : IN303884

Registered Office :

8/28, 2nd Floor, W.E.A., Abdul Aziz Road, Karol Bagh, New Delhi-110005
Phone : +91-11-40078000, Fax : +91-11-40078006
E-mail : indianfinance@ifgl.info • Investor Grievance : cyberrajneesh@gmail.com
Website : www.ifgl.info



ACKNOWLEDGEMENT

To,


Indian Finance Guaranty Ltd.

Dated : _____

Regd. Office : 8/28, 2nd Floor, W.E.A., Abdul Aziz Road,
Karol Bagh, New Delhi-110005

Trading Code : _____

I / We have received a copy each of the Fulfilled Client Registration Form, Combined Risk Disclosure Document, Investors Rights & Obligations, Policies and Procedures, Terms & Conditions of Broking Services and Annexures signed and executed by me/ us for investing / trading in Capital Market Segment, Future and Option Segment, Currency Derivative Segment and Wholesale Debt Market and / or any other instrument(s) on NSE/BSE.

 18/25

Client Signature

Client Name _____ Client Code _____

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]