

## INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list,
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/Voter ID card I Driving license.
2. PAN card with photograph.
3. Identity card I 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 I 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 I Notary public I 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 may be accepted.

#### **D. Exemptions/clarifications to PAN**

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIs, 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
<b>Individuals</b>	<ul style="list-style-type: none"> <li>● Affix Passport Size Photo and Sign across.</li> <li>● Attach Pan Card Copy</li> <li>● Cancelled cheque leaf.</li> <li>● Copy of the Bank Statement/Pass Book.</li> <li>● Photo Copy of Demat Account Statement.</li> <li>● Address Proof : Passport/Voter ID Card / Ration Card / Driving License / UID.</li> <li>● Identity Proof : Passport/Voter ID Card/Driving License / UID.</li> <li>● Documentary Proof &amp; Financial details to be provided if opted to trade in Derivatives Segment.</li> </ul>
<b>Corporate</b>	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● 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).</li> <li>● Photograph, POI, POA, PAN and DIN number of whole time directors/two directors in charge of day to day operations.</li> <li>● Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly.</li> <li>● Copy of the Memorandum and articles of association and certificate of incorporation.</li> <li>● Copy of the Board Resolution for investment in securities market.</li> <li>● Authorised signatories list with specimen signatures.</li> <li>● Net-worth certificate</li> </ul>
<b>Partnership Firm</b>	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered partnership firms only).</li> <li>● Copy of partnership deed.</li> <li>● Authorised signatories list with specimen signatures.</li> <li>● Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered trust only).</li> <li>● Copy of trust deed.</li> <li>● List of trustees certified by managing trustees/CA.</li> <li>● Photograph, POI, POA, PAN of trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>● PAN of HUF.</li> <li>● Deed of declaration of HUF/List of coparceners.</li> <li>● Bank pass-book/bank statement in the name of HUF.</li> <li>● Photograph, POI, POA, Pan of Karta.</li> <li>● Net-worth certificate.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>● Proof of Existence/constitution document.</li> <li>● Resolution of the managing body &amp; power of Attorney granted to transact business of this behalf.</li> <li>● Authorized signatory list with specimen signatures.</li> </ul>
<b>Deravative Segement (Any One)</b>	<ul style="list-style-type: none"> <li>● Income Tax Return-Acknowledgement (Last 2 years).</li> <li>● Demat Account Holding Statement (Holding Compulsory)</li> <li>● Last 6 Months bank statement (Transactions Compulsory)</li> <li>● If Salary person, Copy opf Form No. 16</li> <li>● Net-worth certificate</li> </ul>

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**KCI STOCK BROKERS PVT. LTD.**

Regd. Off.: 83, Savitri House, Near Sahdev Gali, Vishwas Nagar, Shahdara, Delhi-110032

**NEW**  **CHANGE REQUEST** (Please tick ✓ the appropriate)

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)

**For Individuals**

Acknowledgement No.

*PHOTOGRAPH*  
  
*Please affix the recent passport size photograph and sign across it*

**A IDENTITY DETAILS**

Name of the Applicant : .....  
(As Appearing in Supporting Identification Documents)

Father's/Spouse 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) :

Unique Identification Number (UID) / Aadhaar if any :.....  
Specify the proof of identity submitted  PAN Card  Other.....(Please Specify)

**B ADDRESS DETAILS**

Correspondence Address : .....  
.....  
City/Town/Village :..... State : .....

Country: ..... Pin Code :

Contact Details : Tel.: (O) ..... TEL. (R).....  
Mobile..... Fax .....

E-mail .....

Specify the proof of address submitted : .....  
for correspondence address Validity Expiry Date of Proof of Address Submitted

Permanent Address : .....  
(if different from above or overseas address, mandatory for Non-Resident Applicant)

City/Town/Village: ..... State:.....

Country: ..... Pin Code :

Specify the proof of address submitted : .....  
submitted for permanent address Validity Expiry Date of Proof of Address Submitted

**B 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  > 25 Lac OR

Net-worth as on (date).....          
 (Net-worth should not be older than 1 year)

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 (RPEP)

Any other information : .....

**D 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.

↓  
 \_\_\_\_\_  
**Signature of the Applicant**

Date :

**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: KCI STOCK BROKERS PVT. LTD.

Seal/Stamp of the Intermediary

Date of IPV:

\_\_\_\_\_  
 Signature of the person who has done the IPV

- (Originals verified) True Copies of documents received
- (Self Attested) Self Certified Document copies received

Date

\_\_\_\_\_  
 Signature of Authorised Signatory

Acknowledgement No.

*PHOTOGRAPH*

*Please affix  
the recent  
passport size  
photograph  
and sign across it*

**KNOW YOUR CLIENT (KYC) APPLICATION FORM**

**KCI STOCK BROKERS PVT. LTD.**

Regd. Off.: 83, Savitri House, Near Sahdev Gali, Vishwas Nagar, Shahdara, Delhi-110032

**NEW**  **CHANGE REQUEST** (Please tick✓the appropriate)

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)

**A IDENTITY DETAILS**

- Name of the Applicant : .....
- Date of Incorporation : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---
- Place of Incorporation : .....
- Date of commencement of business : 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---
- 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  Govt. Body  Non-Govt. Organization  Defense Establishment  BOI  Society  LLP Others \_\_\_\_\_ (Please Specify)

**B ADDRESS DETAILS**

- Correspondence Address : .....
- City/Town/Village :..... State : .....
- Country: ..... Pin Code : 

--	--	--	--	--	--
- Contact Details : Tel.: (O) ..... TEL. (R).....
- Mobile..... Fax .....
- E-mail .....
- Specify the proof of address submitted : .....
- for correspondence address Validity Expiry Date of Proof of Address Submitted 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---
- Registered Address : .....
- (if different from above or overseas address, mandatory for Non-Resident Applicant)
- City/Town/Village: ..... State:.....
- Country: ..... Pin Code : 

--	--	--	--	--	--
- Specify the proof of address submitted for registered address : .....
- Validity Expiry Date of Proof of Address Submitted 

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

**B 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  25 Lac to 1Crore  > 1 Crore

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

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/UID OF Promoters/Partners/Karta and whole time directors : .....  
if space is insufficient, enclosed these details separately (illustrative format enclosed)

Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:  
 Politically Exposed Person (PEP)  Related to a Politically Exposed Person (RPEP)

Any other information : .....

**D 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 / 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 be held liable for it.

Signature of the Authorised Person (s)

Date :

**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: KCI STOCK BROKERS PVT. LTD.

Date of IPV:

Seal/Stamp of the Intermediary

Signature of the person who has done the IPV

(Originals verified) True Copies of documents received

(Self Attested) Self Certified Document copies received

Date

Signature of Authorised Signatory

**For NON-INDIVIDUALS ONLY**

**Details of Promoters/Partners/Karta/Trustees and Whole Time Directors Forming a Part of know your Client (KYC) Application Form for Non-Individuals**

**Name of Applicant** \_\_\_\_\_ **PAN of the Applicant**

S.No.	PAN	Name	DIN, Mobile, E-mail ID (For Directors) UID (For Other)	Residential/ Registered Address	Relationship with Applicant (i.e. Promoters, whole time Directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

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

2. Copy of cancelled cheque leaf/pass book/bank statement specifying name of the constituent, MICR code or / and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

a. Stock broker has an option of doing "in-person" verification through Web Camera at the Branch Office of the stock broker/sub broker's office

b. In case for 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 of declaration (on the letter head) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**Name & Signature(s) of the authorised person(s)** .....Date..... PEP Politically Exposed Person RPEP related to Politically Exposed Person



## TRADING ACCOUNT RELATED DETAILS

*For Individuals & Non-individuals*

A. BANK ACCOUNT (S) DETAILS		
Bank Name		
Branch address		
Bank Account no.		
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of <input type="checkbox"/> NRI <input type="checkbox"/> NRE <input type="checkbox"/> NRO	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of <input type="checkbox"/> NRI <input type="checkbox"/> NRE <input type="checkbox"/> NRO
MICR Number		
IFSC Code		

B. DEPOSITORY ACCOUNT (S) DETAILS		
Depository Participant Name		
Depository Name (NSDL/CDSL)		
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		

C. TRADING PREFERENCES		
<i>*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.</i>		
Name of Exchange	Market Segment	Client Signature
<b>BSE</b>	Cash	✓
	F & O	✓
	Mutual Fund	✓
<b>NSE</b>	Cash	✓
	F & O	✓
	Mutual Fund	✓

*# 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.*

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

Client's Signature © .....(04)

<b>E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS</b>			
If client is dealing through the sub-broker, provide the following details:			
Sub-broker's Name			
SEBI Registration Number			
Registered Office Address			
City/Town/Village		Pin Code	
State		Country	
Tel. (Off.)		Tel. (Res.)	
Mobile No.		Fax	
Email Id		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			
Client Code			
Sub-broker's Name			
Exchange			
Details of disputes / dues pending from/to such stock broker/sub-broker			
<b>F. ADDITIONAL DETAILS</b>			<b>(Y/N)</b>
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)			
Specify your E-mail 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			
<b>In case of Non-Individuals:</b>			
Name	<b>Signature</b>		
Designation	PAN/UID		
Residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others (Attach Annexure)			
Any other information			
<b>G. INTRODUCER DETAILS</b>			
Name of the Introducer			
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify _____		
Address of the Introducer			
Phone No. of the Introducer			
Signature of the Introducer			
<b>H. NOMINATION DETAILS (for individuals only)</b>			
		<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		Date of Birth of Nominee	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Address and Phone no. of the Nominee			

Client's Signature © .....(05)

<b>If Nominee is a minor, details of guardian</b>	
Name of guardian	
Address and Phone no. of Guardian	
Signature of guardian	
<b>WITNESSES</b> (Only applicable in case the account holder has made nomination)	
Name	Name
Address	Address
Signature	Signature
<b>DECLARATION</b>	

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.

Date:

Place:

Client's Signature ©.....(06)

<b>FOR OFFICE USE ONLY</b>
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UCC Code allotted to the Client: \_\_\_\_\_

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

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

Date 

D	D	M	M	Y	Y	Y	Y
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Seal &amp; Signature of the Stock Broker's

<b>INSTRUCTIONS / CHECK LIST</b>
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**1. Additional documents in case of trading in derivatives segments - illustrative list :**

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

## BROKERAGE TARIFF SHEET

CASH SEGMENT (Normal)				
EXCHANGE	NSE		BSE	
Brokerage Slab	Slab% (On Volume)	Min. Paisa (Per Share)	Slab% (On Volume)	Min. Paisa (Per Share)
Intraday				
Delivery				
Minimum per Contact Note	Rs.		Rs.	
Intraday Single side Brokerage			Yes <input type="checkbox"/>	No <input type="checkbox"/>

  

CASH SEGMENT (Scrip Wise)				
	Square Up		Delivery	
Scrip Rate (Rs.)	Slab% (On Volume)	Min. Paisa (Per Share)	Slab% (On Volume)	Min. Paisa (Per Share)
0-10				
10-20				
20-50				
50-On Words				

DERIVATIVES SEGMENT (FUTURE)				
Brokerage Slab	Slab% (On Volume)	Per Lot	Min Pais (Per Share)	Expiry (Y/N)
Index Futures				
Stock Futures				

  

DERIVATIVES SEGMENT (OPTION)				
Applicable On <input type="checkbox"/> Per Lot <input type="checkbox"/> Strike Price + Premium <input type="checkbox"/> Only Premium				
Brokerage Slab	Slab% (On Volume)	Per Lot	Expiry (Y/N)	
Index Option				
Stock Option				
Intraday Single Side Brokerage			Yes <input type="checkbox"/>	No <input type="checkbox"/>

- ❖ The above rates are exclusive of Transaction Charge, Stamp Duty, Securities Transaction Tax and Service Tax which will be charged extra at the prevailing from time to time.
- ❖ The General rates as mentioned here shall be applied unless the special rates as may be agreed by the Sub-Broker/Authorised Person/Introducer and client and the same are mentioned here.

It is declared that I/We/The Firm/The Company:

1. Have not defaulted to any other broker/exchange and/or am/are not suspended/expelled/defaulted member of any exchange.
2. Have not been declared bankrupt/insolvent.
3. Have not been prohibited for dealing in securities/commodities market by any authority.

I/We agree to pay processing charges (as applicable) / authorize you to debit for this application which will be payable even if my application is rejected due to any reason such as lack of proper supporting documents (Identify/Address/Bank Proof etc.)

Client's Signature ©.....(07)

## Annexure-4

### RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges / SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risk involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be recinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Bye laws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges of its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or support to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same

In considering whetherto trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following

#### 1 BASIC RISKS.

##### 1,1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities I derivatives contracts than in active securities/derivatives contracts. As a result of volatility, you order may only be partially executed or no executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses

## 1.2 Risk of Lower Liquidity

Liquidity refers to the ability of market participants to buy and/or sell securities/derivatives contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities/derivatives contracts swiftly and with minimal [ price difference, and as a result, investors are more likely to pay or receive a competitive price for securities/derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities/derivatives contracts as compared to active securities/derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities | derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities | derivatives contracts may have to be sold/purchased at low/high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security/derivatives contract.

## 1.3 Risk of Wider Spreads.

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security/derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities | derivatives contracts. This in turn will hamper better price formation.

1.4 A “market” order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a “market” order, the execution may be at available prices of a outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in the security | derivatives contract.

1.4.2 A “limit” order will be executed only at the “limit” price specified for the order or a better price. However, while the customer receives | price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed “away” from the current price of a stock/derivatives contract, and such order gets activated if and when the security | derivatives contract reaches, or trades through, the stop prices. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security | derivatives contract reaches the predetermined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There- is no assurance therefore that the limit order will be executable since a security/derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

## 1.5 Risk of News Announcements:

News announcements that may impact the price of stock/derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security/contract.

## 1.6 Risk of Rumors:

Rumors about companies/currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. Ihi investors should be wary of and should desist from acting on rumors.

## 1.7 System Risk

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1. During periods of volatility, on account of market participation continuously modifying their order quantity or prices or placing fre orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all

when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security/derivatives contract due to any action on account of unusual trading activity or security/derivatives contract hitting circuit filters or for any other reason,

## **18 System/Network Congestion:**

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or executed orders, these represent a risk because of your obligations to settle all executed transactions.

## **2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features**

### **2.1 Effect of “Leverages” or “Gearing”:**

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a related short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index/derivatives contract, if the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers, etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increase in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

### **2.2. Currency specific risks:**

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened
3. Currency prices are highly volatile Price movements for currencies are influenced by, among other things, changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

**2.3 Risk of Option Holders:**

- 1, An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.
2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

**2.4 Risks of Option Writers:**

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.
2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple long or short position.

Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And It should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

Client's Signature ©.....(08)



To,

**KCI STOCK BROKERS PVT. LTD.**83, Savitri House, Near Sahdev Gali,  
Vishwas Nagar, Shahdara, Delhi-110032

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segment/mutual Fund Segment. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealings on my/our behalf as per instructions given below.

I am/we are aware that you and I/we have the option to deliver securities/make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives/regulations/circulars, issued by exchange/regulatory authorities. However, I/We find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin/collateral without which we cannot deal/trade.

Therefore I/we hereby direct and authorize 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/dealing please if the securities and moneys with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/collateral for my/our dealings/tradings.

In the event I/we have outstanding obligations 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. While settling the account please send a 'statement of account's containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I agree that if I/we fail to bring to any dispute arising from the statement of account or settlement so made to your notice within 7 working days from the date of receipt of funds/securities or statement, as the case may be in writing by delivery at your registered office then in that event the statement of accounts or carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG) Fixed Deposit receipts (FDR).

Please further note that while I am entitled to revoke this authorization at any time. I/We shall be liable for all losses damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above and further agree that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of securities/monies under this agreement.

My/Our preference for actual settlement of funds and securities is at least:

Once in a Calendar Quarter Once in a Calendar Month 

Thanking you,

Date:      Client's Signature ©<sup>✓</sup>.....(09)

Name: \_\_\_\_\_

**VOLUNTARY****AUTHORISATION FOR ELECTRONIC CONTRACT NOTES**

To

**KCI STOCK BROKERS PVT. LTD.**83, Savitri House, Near Sahdev Gali,  
Vishwas Nagar, Shahdara, Delhi-110032

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options segments/Mutual Fund Segments. As my/our broker i .e. agent I/We direct and authorize you to carry "out trading/dealing on my/our behalf as per instructions given below.

I/We understand that, I/we have the option to receive the contract notes/bills ledgers, transaction statements, monthly/quarterly demat statement of accounts/holding statement(s)/ bill or other reports statement(s), related notices, Circulars, amendments and such other correspondence, documents, records by whatever name called (hereafter referred to as "statement(s)" in physical form or electronic form. In pursuance of the same, I/we hereby opt for receipt of contract notes in electronic form. I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for your to send the electronic contract notes. Accordingly, please take the following email account(s)/email id on your record for sending the contract notes/statements to me/us.

Email ID	Additional Email ID
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I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but shall limited to failure of email servers, loss of connectivity, email in transit etc. I/We agree that the log reports of your dispatching software not be a conclusive proof of dispatch of contract notes to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.

I/We also agree that non-receipt of bounced mail notification by you shall amount to delivery at my/our email account(s) email id(s).

I/We understand that I am required to intimate any change in the email id/email account mentioned herein above needs to be communicated by me through a physical letter to you. Provided however that if I/we am/are an internet client then in that event the request for change in email id/email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier, I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

**Client's Signature** ©.....(10)

**ACKNOWLEDGEMENT**

To,

**KCI STOCK BROKERS PVT. LTD.**83, Savitri House, Near Sahdev Gali,  
Vishwas Nagar, Shahdara, Delhi-110032

Dear Sir or Madam,

I/We hereby acknowledge receipt of the following documents

1. Right and obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet/wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note-Do's and Don't's for Trading on the Exchange(s) for investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03,2009,
5. The \_\_\_\_\_ Tariff Sheet.
6. General Terms and Conditions governing securities trading and broking services of \_\_\_\_\_

I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I state that I have read and understood all above documents and these documents are binding upon me.

Yours Faithfully,

CLIENT'S NAME		
CLIENT'S SIGNATURE ✓.....(11)	Date	

**VOLUNTARY****UNDERTAKING FOR DIRECT PAY-IN OF SECURITIES TO POOL ACCOUNT OF  
MADHYA PRADESH STOCK EXCHANGE LTD.**

I/We, \_\_\_\_\_ resident of having office at \_\_\_\_\_ is a client with client code No \_\_\_\_\_ registered with M/s. \_\_\_\_\_, Stock Broker of Madhya Pradesh Stock Exchange Limited (MPSE). having entered into Stock Broker-Client agreement with the said Stock Broker, for trading on National Stock Exchange of India Limited (NSE) / Bombay Stock Exchange Ltd. under the arrangement entered into between MPSE and NSE / BSE.

Whereas I / We have to deliver securities for the sales effected by me / us through the above Stock Broker, in terms of the Stock Broker-Client agreement entered into between me / us and the said Stock Broker.

And whereas I / We have to transfer the securities to the Stock Broker, against the sales made as above, who in turn would transfer it to the MPSE Pool account to be delivered to NSE / NSCCL, BSE/BOISL and in order to avoid delay and save time and expenses for such transfers, I / We have chosen on our own volition, to effect the transfer of securities directly to the MPSE's pool account, against the aforesaid sales.

And whereas I / We would be transferring the shares towards the pay-in of securities against the sale position of the transactions done by me/us through the above Stock Broker, directly to the MPSE's pool account numbers CDSL CM BP ID \_\_\_\_\_ and NSDL \_\_\_\_\_ CDSL CM BP ID \_\_\_\_\_ and NSDL \_\_\_\_\_ to meet my / our pay in obligations for the transactions executed by me/us through the said Stock Broker.

Now, therefore in consideration of such transfer of securities for meeting my / our pay-in obligations of securities for the sales effected, I/We hereby undertake and agree that:

1. The securities that will be transferred by me / us to the MPSE pool account, be considered towards my / our obligation to deliver the securities to the Stock Broker for the sales done by me / us through the said Stock Broker and accordingly the same be accounted for against the pay-in obligation of the Stock Broker.
2. For the trades done by me / us through the Stock Broker for which the delivery of securities is transferred to the MPSE pool account, the contractual obligations solely rests between me / us and the Stock Broker, as provided in the Stock Broker client Agreement referred to above.
3. I / We understand and agree that the pay-out of funds against my / our sales for which security is directly transferred to the MPSE pool account has to be received from the Stock Broker only through whom I / we have executed the trade, and not from MPSE directly and no claim, whatsoever shall lie against MPSE for the shares so transferred.
4. I/We understand and agree that shares held in the names of third parties cannot be delivered against my/our trades and the same will not be accepted towards my pay-in obligations. I/we undertake not to transfer any third party shares to the Pool Account. Nevertheless, I/we undertake to indemnify MPSE for any loss, damage or claims arising out any accidental omission or commission in transferring third party shares.

Place :

Date:

Client's Signature © .....(12)

**I / We Accept**

**Seal & Signature of the TM**

Date

To

**KCI STOCK BROKERS PVT. LTD.**

83, Savitri House, Near Sahdev Gali,  
Vishwas Nagar, Shahdara, Delhi-110032

Dear Sir,

Ref. Client Code

Subject: **Letter of Authority for NSE/BSE**

I/We am/are dealing with you (BSE / NSE cash & F O segment) and in order to facilitate ease of operations, I/We authorize you as under:

1. I/We authorize you to set off outstanding in any or my/our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such accounts may pertain to transaction in any of the Exchange and/or against the value of cash margin or collateral securities provided to by me/us.
2. I/We authorize you to transfer funds to my accounts maintained with in NSE/BSE against my/our trades in NSE/BSE.
3. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards my/our margin/future obligations at the exchange unless I/we instruct you otherwise.
4. I/We request you to retain securities in your Demat account for my/our margin/future obligations, unless otherwise I/We instruct you to transfer the same to my/our account.
5. I/We confirm & agree to issue me/us as electronic/digital contract notes on the email id \_\_\_\_\_  
I/We undertake that the same shall be treated as valid contract note. Any change in the email id shall be communicated to the head office in writing.
6. To operate and given delivery/receive instructions, borrowing and lending instructions, pledge instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of DEMAT account(s) number \_\_\_\_\_ with MPSE Securities Ltd., Depository Participant (DP) with CDSL or any other DEMAT accounts as may be communicated in writing towards the obligation for transactions done through you on NSE/BSE/F&O / Currency Future and any other Exchange under my instructions.
7. To instruct the DP of MPSESL to debit securities to the said account and/or transfer securities from the said account to any other account to the extent of shares sold through you for pay in obligation as well as for margin towards any Exchange both in cash and derivatives segment.
8. To execute the share transfer request given by me/us through the website or any other medium and process the document authenticate it by authorized signatories empowered to do so in this regards.
9. I/We hereby authorize you to setoff the outstanding/debits in my account by disposing the securities available in my DP Account No. \_\_\_\_\_ with MPSE Securities Ltd., in case of default.
10. The client agrees to bear interest @18% p.a. which would be charged on outstanding dues in order to meet up with the client's obligations temporarily.
11. I/We here by authorise the stock broker to pay all charges incurred for operation of my/our DP A/c maintained with MPSE Securities Ltd. DP.
12. Further, the above authorization is valid till revoked.
13. I have been made aware of the stock broker RMS policies, Penny stocks, Brokerage Policy, Square Off Policy,

Client's Signature ✓.....(13)

Name of Client.....

**VOLUNTARY****DISCLOSURE FOR DERIVATIVE / FINANCIAL**

With reference to SEBI Circular MIRSD/SEC IR-19/2009 Dated 3rd December, 2009, Please find my/our request for updation of the requisite details in your records/availaing the facilities mentioned below. This is to be read in continuation to KYC and Agreement submitted by me at the time of opening of my trading account code\_\_\_\_\_

Market Segment on Which I/We wish to trade

Derivative Market

Disclosure of Financial Details (Annual Income)

Below Rs. 1 Lac

Between Rs. 1 Lac to Rs. 5 Lac

Between Rs. 5 Lac to Rs.10 Lac

Between Rs. 10 Lac to Rs.25 Lac

Above Rs. 25 Lac

Document in support of Financial details enclosed  
(Please tick whichever is applicable)

ITR duly acknowledge (For last financial year)

Form-16 (for last financial year)

Net-Worth Certificate (certified by CA)

Salary Slip stamped by Employer

Bank statement for Last 6 Month

Demat Holding statement (not older than 3 months)

Wealth Tax Return

Copy of Annual Account (Non Individual) For last two year)

Name :

Date :

Client's Signature ©.....(14)

**VOLUNTARY****VERBAL ORDER ACCEPTANCE AUTHORISATION**

To,

**KCI STOCK BROKERS PVT. LTD.**

83, Savitri House, Near Sahdev Gali,  
Vishwas Nagar, Shahdara, Delhi-110032

I/We have been/shall be dealing through you as my/our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments/Currency Derivative Segments. As My/Our broker i.e. agent I/We direct and authorize you to carry out trading/dealing son my/our behalf as per instructions given below.

I/We agree and acknowledge that it is advised and preferred you that I/We give instructions for order placement/modification and cancellation in writing and to avoid disputes, I/We must give instructions in exactly the format given below in duplicate (carbon copy/photocopy) and take signatures of your duly authorised officers at the branch along with your company stamp on the carbon/photocoy of the instructions in acknowledgement of receipt of my/our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuations in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) under the plea that same were not under mine/our instructions. I/We agree that I/We will not have the right to shift the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you,

Yours faithfully

Signature :

Name :

Client's Signature ©.....(15)

### Format of Net Worth Certificate (Corporate A/c)

This is to certify that we have examined the books of accounts and other records of M/s \_\_\_\_\_, a company registered under the company act, 1956 and having its registered office at \_\_\_\_\_

On the basis of records and other explanation and other information given to us we further certify that the company's Net Worth is Rupees \_\_\_\_\_/- as on \_\_\_/\_\_\_/\_\_\_\_\_. It true and correct to the best of our knowledge and as per information provided to our satisfaction.

Date : .....  
Place : \_\_\_\_\_

For \_\_\_\_\_  
Chartered Accountants  
Name \_\_\_\_\_  
(Partners / Proprietor)

### Format of Board Resolution (Corporate A/c)

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED IN THE MEETING OF THE BOARD OF DIRECTORS OF M/S. \_\_\_\_\_ HAVING REGISTERED OFFICE AT \_\_\_\_\_ HELD On \_\_\_\_\_ DAY OF \_\_\_\_\_, 20\_\_\_\_\_.

"RESOLVED THAT \_\_\_\_\_ (name of the company) agree with Madhya Pradesh Stock Exchange Limited Member / Trading Member of National Stock Exchange (NSE) and Bombay Stock Exchange Limited (BSE) etc. For dealing in capital market cash segment. Derivatives / Futures Options Segment or any segment that may be introduced by BSE / NSE and that Madhya Pradesh Stock Exchange. Be and is hereby authorised to honour instruction, oral / written or electronic, as the case may be, given on behalf of the company be any one of more of the under stated authorised signatories:

Sr. No.	Name	Designations
01.		
02.		
03.		

"RESOLVED FURTHER THAT, the above-referred signator(ies) is / are authorised to sell, purchase, transfer, endorse, negotiate, deal in equities derivatives debentures, debt, IPOs, MFs, government securities and / or other products of services and / or otherwise deal through Madhya Pradesh Stock Exchange Limited on behalf of the company and the company agrees to the terms of Madhya Pradesh Stock Exchange Limited as per the Stock Broker-Sub Broker - Client Agreement.

"RESOLVED FURTHER THAT Mr. / Ms. \_\_\_\_\_ Director / Authorised Signatory and or Mr. / Ms. \_\_\_\_\_ Directors / Authorised Signatory of the company be and are hereby authorised to sign. execute and submit applications, undertaking, agreements and other requisite documents, writing and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

"RESOLVED FURTHER THAT the common seal of the company be affixed, wherever necessary, in the presence of any of the directors who shall sign the same in token of the presence.

For \_\_\_\_\_ (Name of the Company)

\_\_\_\_\_  
Specimen Signature of the Directors/Authorised Signatory under this resolution

\_\_\_\_\_  
Specimen Signature of the Directors/Authorised Signatory under this resolution

### Declaration by Karta (HUF A/c)

#### DECLARATION BY KARTA & CO PARCENERS OF HUF

HUF Name	
Name of Karta	
Address	

I.....(Name of Karta) hereby declare that I am the Karta of the HUF .....(Name of HUF) and following persons are Co-Parceners of this HUF.

We, all the below Mentioned Co parceners declare that Mr. ....(Name of Karta) is the

S.No.	NAME	DOB	RELATION	SIGNATURE

**SEAL & SIGNATURE OF KARTA**