



Account Opening Form (Non-Individual) Broking & Depository Services

**PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS
AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT.**

For Account Opening Team Purpose				Sr. No.	
Login ID : <input type="text"/>			LEAD ID: <input type="text"/>		
Depository Service : CDSL NSDL (Select any one)			Wire ID: <input type="text"/>		
CDSL-Client ID <input type="text"/>					

Process	Employee Code & Name	Process	Employee Code & Name
Pre-Audit Maker		Date Entry Maker	
Pre-Audit Checker		Date Entry Checker	

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		Part II - Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	9-12
		Client Declaration	13
2.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading and demat account on the stock exchange(s)/ depository.	14
3.	Rights & Obligations of Stock Brokers, Sub-Broker & Clients	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).	Included in Client Copy
4.	Rights & Obligations of Beneficial Owner & Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities	
6.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
7.	Policies and Procedures	Documents describing significant policies and procedures of 5paisa Capital related to Trading Account of the client.	
SECTION-B - VOLUNTARY DOCUMENTS - AS PROVIDED BY STOCK BROKER/ DEPOSITORY PARTICIPANT			
1.	Terms & Conditions cum Registration form for receiving SMS Alerts from Depository	Terms and Conditions-cum-registration / Modification form for receiving SMS Alerts from CDSL.	
2.	Terms & Conditions For Distribution of Securities	Terms & Conditions for Distribution of Securities	
3.	Mutual Fund Trading Services	Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUAL FUND offered by NSE and BSE respectively	
4.	SIP in Mutual fund and Security	Terms and conditions for availing systematic investment plan in Mutual fund and Securities	
5.	Power of Attorney	Voluntary and Limited purpose POA in favour of Broker for operational requirements as per client authorization/instruction. a POA in favour of 5paisa Capital.	15-18
6.	NOC FROM Co-Parceners (HUF Account)	Prescribed by regulator. required if HUF is granting a POA in favour of 5paisa Capital.	19
7.	Authorisation Letter	A) Availing Mutual Fund Service System (MFSS) facility/BSE StAR MUTUAL FUND (hereinafter jointly referred to "Mutual FundTransaction Facilities") B) Authorization for Systematic Investment in Mutual Fund /Securities C) Running Account Authorisation D) Authorisation for Receipt of Contract Notes and Other documents in Digital Mode E) Authorisation for Online Trading Software Password	20-23

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/ Driving license.
2. PAN card with photograph.
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 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, 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.

INSTRUCTIONS/ CHECK LIST FOR ACCOUNT OPENING FORM - TRADING ACCOUNT

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

Copy of ITR Acknowledgement

In case of salary income - Salary Slip,

Copy of Form 16

Copy of demat account holding statement.

Any other relevant documents substantiating ownership of assets.

Copy of Annual Accounts

Net worth certificate

Bank account statement for last 6 months

Self declaration with relevant supporting documents.

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

2. Copy of cancelled cheque leaf/ pass book/ bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.

NOTES

1. In case of Additional Signature, Separate annexures should be attached to the application Form.
2. All Communication shall be sent at the corresponding address/Mobile/Email Id of sole holder/First holder only.
3. Thumb Impression 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.
4. For receiving statement of account in electronic Form:
 1. Client Must insure the confidentiality of the password of the email account.
 2. Client must promptly inform the participant if the email address has changed.
 3. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Spaisa Capital Limited may also terminate this facility by giving 10 days prior notice.
5. Strike of Which ever is not applicable.

ADDITIONAL INSTRUCTIONS

- 1 **Trading A/c** cannot be opened in joint names.
- 2 All **corrections** on the form should be countersigned with full signature. White ink is not allowed either in form or authorization.
- 3 Incase of an employee of another Member Broker, NOC from employer is required.

Please note that the mode of payment should be only by way of **account payee crossed cheques/Demand draft in favour of "Spaisa Capital Ltd - (Client's Login id)"**. No cash receipts payments will be entertained for any transactions made by the client. Spaisa Capital Limited will not be responsible for any kind of claims raised by the clients regarding payment made in cash. Mobile number is compulsory for opening of Demat/ Trading account with Spaisa Capital Limited. In case of change in mobile number any time after opening of this account, for postpaid connection it is mandatory to submit the photocopy of the latest/ last 2 months mobile bill and for prepaid connection client must personally visit the branch/ FAN's along with their ID proof (eg. PAN Card/ Driving Licence/ Passport/ Election Voter ID) and get the same verified.

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. • POI and POA of the natural person as per declaration submitted for identification of beneficial owner. (Not applicable in case client or controlling owner is a listed company or is a majority owned subsidiary of listed company) • 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. • POI and POA of the natural person as per declaration submitted for identification of beneficial owner.
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. • POI and POA of the natural person as per declaration submitted for identification of beneficial owner.
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. • POI and POA of the natural person as per declaration submitted for identification of beneficial owner.
Banks/Institutional	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 Investors 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.

FOR OFFICE PURPOSE ONLY
1. CLIENT RISK CATEGORISATION UNDER PMLA: ☐ **LOW RISK** ☐ **MEDIUM RISK** ☐ **HIGH RISK**
2. SOURCING & SERVICE RM/ SALES EXECUTIVE/ FAN NAME & CODE

	CODE	NAME
Introducer (E1-Sourcing Sales Employee)		
Group Code (E2-Servicing Sales Employee)		
Remiser (if any)		
Branch / FAN		

3. SUBMISSION CHECKLIST

1. Complete Documentation Received ☐ Yes ☐ No If No, give details _____

2. "Verified with Original" stamp affixed on proofs ☐ Yes ☐ No

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

3. "PAN verified" stamp with Employee name & signature affixed on proof ☐ Yes ☐ No

4. Margin Money collected ☐ Yes ☐ No Amount in ₹ _____ ₹ (in words) _____

Chq./ CMS No: _____ Chq./ CMS. Date: Bank Name _____

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.

I have read and understood that if any of the requirements is not fulfilled then a penalty would be charged to me or any other action may be taken as deemed fit by the Management for non compliance from my end.

Branch Address : _____

Pincode : _____

Name of the Employee _____ Employee Code : _____

Employee Signature & Stamp :  1 / 3

Date
4. KRA REGISTRATION DETAILS (FOR OFFICE PURPOSE ONLY)
If Client is already registered with KRA please fill in below details:
☐ **NDML** ☐ **CVL** ☐ **DOTEX** ☐ **Others** (Please Specify) _____

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: _____

Date of Registration:

Login ID: **KNOW YOUR CLIENT (KYC) APPLICATION FORM - GUARDIAN
(IN CASE PARTNER IS MINOR - ONLY FOR DEMAT ACCOUNT)**

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name First Middle Last

2. Father/Spouse Name First Middle Last

3. a. Gender: ☐ Male ☐ Female b. Marital Status: ☐ Single ☐ Married c. Date of Birth DD MM YY YY YY YY

4. a. Nationality: b. Status: ☐ Resident Individual ☐ Non-resident ☐ Foreign National ☐ Others (Please specify)

5. a. PAN COMPULSORY b. Unique Identification Number (UID) / AADHAAR, if any

6. Specify the Proof of Identity submitted: ☐ PAN Card ☐ Any other (Please specify)

7. Relationship of Guardian with Minor Date of Birth of Minor DD MM YY YY YY YY

B. ADDRESS DETAILS

1. Address for Correspondence

City/Town/Village PIN Code

State Country

2. Contact Details: Tel. (Off) Tel. (Res)

Mobile COMPULSORY Fax

E-mail ID COMPULSORY

3. Specify the Proof of Address submitted for Correspondence Address

Document No.

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

City/Town/Village PIN Code

State Country

5. Specify the Proof of Address submitted for Permanent Address

Document No.

C. OTHER DETAILS

1) **Gross Annual Income Details:** (Please specify)
 a) Income Range per Annum: ☐ Below ₹1,00,000 ☐ ₹1,00,001 to ₹5,00,000
☐ ₹5,00,001 to ₹10,00,000 ☐ ₹10,00,001 to ₹25,00,000 ☐ More than ₹25,00,001 OR
 b) Networth Rs. as on DD MM YY YY (Networth details should not be older than one year)

2) **OCCUPATION DETAILS: (Please tick any one and give brief details):**
Service: ☐ Private Sector ☐ Public Sector ☐ Govt. Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired
☐ Housewife ☐ Student ☐ Others (pls specify)

Nature of Business

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

4) **Any other information:**

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 Sole/ First Holder Date DD MM YY YY YY YY**FOR OFFICE USE ONLY**

Spaisa Capital Ltd.
 Code: ☐ (Originals verified) Self certified Documents copies received.
☐ (Attested) True copies of Documents received.

Staff Name
 Designation
 Signature
 Date

IPV Done ☐ on DD MM YY YY YY YY

Seal/Stamp
 Staff Name
 Designation
 Signature
 Date

**DETAILS OF PROMOTERS/PATNERS/KARTA/TRUSTEES/WHOLE TIME DIRECTOR AND AUTHORISED SIGNATORY
FORMING A PART OF KNOW YOUR CLIENT (KYC) KYC APPLICATION FROM FOR NON-INDIVIDUAL**

Name of Applicant		PAN of the Applicant					
Sr. No.	Name	Relationship with applicant (i.e. Promoters, Beneficiary, Whole time Directors, etc.)	PAN	Resi./Regd. Address	DIN (For Directors)/ UID (For Others)	Whether Politically Exposed	Photograph
1.					<div>DIN (For Directors)</div> <div>UID (For Others)</div>	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div>Please sign across the Photograph</div>
2.					<div>DIN (For Directors)</div> <div>UID (For Others)</div>	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div>Please sign across the Photograph</div>
3.					<div>DIN (For Directors)</div> <div>UID (For Others)</div>	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div>Please sign across the Photograph</div>
4.					<div>DIN (For Directors)</div> <div>UID (For Others)</div>	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div>Please sign across the Photograph</div>
5.					<div>DIN (For Directors)</div> <div>UID (For Others)</div>	<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div>Please sign across the Photograph</div>

Name & Signature of the Authorised Signatory(ies)

Date: DD MM YY **PEP:** Politically Exposed Person **RPEP:** Related to Politically Exposed Person

Login ID: **PART II - ACCOUNT OPENING FORM**

Spaisa Capital Limited, Regd. Office: 143, MGR Road, Perungudi, Chennai, Tamil Nadu - 600 096
Tel: + 91 44 4398 2500 • Fax: + 91 44 4380 4002

A. ADDITIONAL INFORMATION FOR TRADING ACCOUNT (Please fill this form in ENGLISH and in BLOCK LETTERS)**1. TRADING PREFERENCE**

STOCK EXCHANGE(S) & SEGMENT ON WHICH YOU WISH TO TRADE:

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

Capital Market Segment	NSE Cash <input checked="" type="checkbox"/> 4/19	BSE Cash <input checked="" type="checkbox"/> 5/19
Futures & Options	NSE F&O <input checked="" type="checkbox"/> 6/19	BSE F&O <input checked="" type="checkbox"/> 7/19
Currency Derivatives	NSE Currency <input checked="" type="checkbox"/> 8/19	MCX <input checked="" type="checkbox"/> 9/19
MFSS/BSE StAR	NSE MFSS <input checked="" type="checkbox"/> 10/19	BSE StAR <input checked="" type="checkbox"/> 11/19

If in future, you want to trade on any new segment/ new exchange, separate authorisation/ letter should be submitted to Spaisa Capital Ltd.

2. PROOF OF FINANCIAL DETAILS (MANDATORY IN CASE OF DERIVATIVES/ CURRENCY)

☐ Copy of ITR acknowledgement ☐ Copy of annual accounts ☐ Copy of Form 16 ☐ Networth certificate
☐ Salary slip ☐ Bank account statement for last 6 months ☐ Copy of demat account holding statement

3. 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:

Particulars	Name of Authority	Month & Year of Action

4. DEPOSITORY ACCOUNT DETAILS

Depository Participant Name and Address	<input type="text"/>	
Depository Name	<input type="text"/>	
DP ID	<input type="text"/>	BO Account Number: <input type="text"/>
Beneficiary Name	<input type="text"/>	

5. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

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

6. ADDITIONAL DETAILS

Gross Annual Income Details: (Please specify)	a) Income Range per Annum: <input type="checkbox"/> Below ₹1,00,000 <input type="checkbox"/> ₹1,00,001 to ₹5,00,000 <input type="checkbox"/> ₹5,00,001 to ₹10,00,000 <input type="checkbox"/> ₹10,00,001 to ₹25,00,000 <input type="checkbox"/> More than ₹25,00,001 OR b) Networth ₹ <input type="text"/> as on <input type="text"/> (Networth details should not be older than one year)
Occupation Details: (please tick any one and give brief details):	Service: <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (pls specify) Nature of Business <input type="text"/>
Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP).
Whether you wish to receive:	<input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic Contract Note (ECN)
Specify your Email id, if applicable:	<input type="text"/> Whether you wish to avail of the facility of internet trading/wireless technology (please specify) <input type="checkbox"/> Yes <input type="checkbox"/> No
Experience	Number of years of Investment/Trading Experience: <input type="text"/>
Any other information:	<input type="text"/>

7. CONSENT FOR RECEIVING SMS/EMAIL ALERTS FROM CONCERNED STOCK EXCHANGES

<input type="checkbox"/> I/We wish to avail the SMS/Email alert facility offered by respective Exchanges showing details of my daily transactions executed through 5paisa Capital Ltd. (5paisa) on my e-mail id/ mobile no. provided in KYC Form. (The above facility is provided by Exchanges and will be activated once the details are verified by Exchanges and confirmed by you)
Clients signature <input type="text"/> 14/19

Login ID:



B. COMMON DETAILS FOR BOTH TRADING & DEMAT ACCOUNT

1. BANK ACCOUNT DETAILS (FOR TRADING AND DEMAT ACCOUNT)

Bank Name	<input type="text"/>																					
Branch Address	<input type="text"/>																					
City	<input type="text"/>										Country	<input type="text"/>										
State	<input type="text"/>										PIN Code	<input type="text"/>					Tel.	<input type="text"/>				
Bank A/c No.	<input type="text"/>										MICR No.	<input type="text"/>										
A/c Type:	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI/ NRE/ NRO (specify) <input type="text"/>																					
IFSC Code	<input type="text"/>																					

2. IN CASE OF FII'S/ OTHERS (AS MAY BE APPLICABLE)

(A) RBI Approval Ref No.:	<input type="text"/>										(B) RBI Approval Date:	<input type="text"/>										
SEBI Regd. No. (For FIIs):	<input type="text"/>										SEBI Registration Date:	<input type="text"/>										
Currency	<input type="text"/>																					
Foreign Address	<input type="text"/>																					
City	<input type="text"/>										Country	<input type="text"/>										
State	<input type="text"/>										PIN Code	<input type="text"/>					Tel.	<input type="text"/>				
Mobile	<input type="text"/>										Fax	<input type="text"/>										
Website	<input type="text"/>																					

3. CLEARING MEMBERS DETAILS (TO BE FILLED BY CMS ONLY)

Name of the Stock Exchange	<input type="text"/>																				
Name of the CC / CH	<input type="text"/>																				
Trading ID	<input type="text"/>										Clearing Member ID	<input type="text"/>									
SEBI Regd. No.	<input type="text"/>										CM-BP ID (to be filled-up by participant)	<input type="text"/>									




4. INTRODUCER'S DETAILS

Status Of Introducer	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Existing Account Holder <input type="checkbox"/> Bank Official <input type="checkbox"/> IIFL Employee <input type="checkbox"/> Any Other Person																					
Introducer's Name:	<input type="text"/>																					
Address	<input type="text"/>																					
City	<input type="text"/>										Country	<input type="text"/>										
State	<input type="text"/>										PIN Code	<input type="text"/>					Tel.	<input type="text"/>				
Occupation	<input type="text"/>										PAN	C O M P U L S O R Y										
DP ID	<input type="text"/>										Client ID	<input type="text"/>					For existing client only	<input type="text"/>				
Designation	<input type="text"/>										Employee Code	<input type="text"/>					If bank employee	<input type="text"/>				
Bank & Branch Name	<input type="text"/>										If bank employee	<input type="text"/>										
Email Id	<input type="text"/>																					
	<input type="text"/>																					

Login ID: ☐ CDSL DP ID:Client ID (To be filed by 5paisa): **C. ADDITIONAL INFORMATION FOR DEMAT ACCOUNT** (Please fill this form in ENGLISH and in BLOCK LETTERS)

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

Date **1. DEPOSITORY SERVICE**I/We wish to open Depository Account with Please write CDSL (CDSL:)**2. DETAILS OF ACCOUNT HOLDER(S)**

	Authorised Signatory	Authorised Signatory	Authorised Signatory
Client Name			
PAN			
SIGNATURE			

3. TYPE OF ACCOUNT☐ Body Corporate ☐ Bank ☐ FI ☐ Mutual Fund ☐ CM ☐ FII ☐ Trust☐ Others (Please specify) **4. For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the demat 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:**a) Name b) PAN **5. STANDING INSTRUCTIONS (FOR DEMAT ACCOUNT)**

- a. I/We authorise you to receive credits automatically into my/our account ☐ Yes ☐ No
- b. Account to be operated through Power of Attorney (PoA) ☐ Yes ☐ No
- c. Account Statement Requirement: ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly (Default option is monthly)
- d. Do you wish to receive dividend/interest directly to your bank account given herein through ECS? ☐ Yes ☐ No

SMS ALERT FACILITY☐ Yes Mobile No. +91 ☐ NoRefer to Terms & Conditions given as **ANNEXURE**

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	Yes	No
1	Sole/ First Holder/ Authorised Signatory	<input type="checkbox"/>	<input type="checkbox"/>
2	Second Holder/ Authorised Signatory	<input type="checkbox"/>	<input type="checkbox"/>
3	Third Holder/ Authorised Signatory	<input type="checkbox"/>	<input type="checkbox"/>

easi

☐ Yes. If yes, please contact your DP for details
 [Facility through CDSL's website: www.cdslindia.com wherein a BO can view his
 ISIN balances, transactions and value of the portfolio online.]
☐ No

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 confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents:-
 - Rights and Obligations of Stock Rights and Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges
 - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
 - Risk disclosure Document for Capital and Derivatives Segment
 - Guidance Note-Do's and Don'ts for Trading on the Exchange(s) for Investors
 - Policies and Procedures applicable to clients.
 4. 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.
- I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of 5paisa and also intimated to me through circulars in internet trading platform/e-mails. I/We shall keep myself updated of the same.
- 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 account. I/We hereby declare that the details furnished 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/we am/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 regulation.

Name and Signature of Authorised Signatory(ies) [Enclose a Board Resolution for Authorised Signatories]

Sr. No.	AUTHORISED SIGNATORY NAME	SIGNATURE
1.		
2.		
3.		
4.		
5.		

Date

MODE OF OPERATION (In case of joint holdings, all the holders/ Authorised Signatories must sign)

<input type="checkbox"/> ANY ONE SINGLY	<input type="checkbox"/> AS PER RESOLUTION
<input type="checkbox"/> JOINTLY BY	<input type="checkbox"/> OTHERS (PLEASE SPECIFY)

Login ID:



TARIFF SHEET

SCHEDULE OF BROKERAGE AND OTHER CHARGES

Trading Account Charges		Other Charges	
Rs 750/-* Non Refundable (inclusive of GST)			Standard charges
No charges are payable for opening of demat accounts.			
Broking Charges		Pledge creation	Rs. 50
	RATE	Pledge closure	--
CASH	Rs 20 per order*	DEMAT - Per certificate	Rs. 15
(Futures & Options)		REMAT - Per certificate OR Per 100 Units/shares (Whichever is higher)	Rs. 15
Currency (Futures & Options)			
Auction Charges	7.00%	Conversion of MF units/ Destatmentisation Per SOA	Rs.15
*Subject to Regulatory Caps		Reconversion of MF units in to SOA or Redemption/Restatmentisation Per SOA	Rs. 15
Depository Charges		Postal Charges per request shall be charged separately	Rs. 40
A/c Maintenance Charges*	Yearly AMC Rs. 1000/- + GST	Rejection/Failure per entry	--
Credit Charges	NIL		
Debit Charges**	0.025% or Rs 25 whichever is higher		
*AMC will be charged on pro data basis on first year.			
**These charges are billed every month and will be debited to the ledger.			

- Document handling charge of Rs 100/-shall be applicable: In case customer also intends to receive documents (contract notes and other related documents) by physical mode.
- This charge may be partly/fully waived at the discretion of Spaia.
- The above charges are exclusive of GST Securities Transaction Tax, other charges and stamp duty. The same shall be charged to the Clients account on actual basis. Inter/settlement/Beneficiary to pool transfer would be charged @ 0.025% or Rs 25 Exclusive of GST whichever is higher.Charges/ Service standards are subject to revision at sole discretion of Spaia Capital Ltd. and as informed by communication sent by ordinary post/E-mail.
- For customers using our Call Center services which are equipped with modern technology, there will be a nominal charge of Rs20 per call Exclusive of GST
- Value of the transaction will be in accordance with rates provided by Depository.
- Statutory and other levies being charges related to the execution and/or settlement of transactions shall be separately chargeable as in force from time to time.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Customer is required to maintain a minimum balance of Rs 1000/-in his/her ledger account.
- Management reserves the right to freeze, discontinue or suspend any account if required.
- Brokerage is also applicable in case of expiry of futures and exercise and assignment of option contracts.
- Spaia Capital Limited would be recovering payment gateway charges on actual basis per transaction as charged to Spaia Capital Limited by the payment gateway vendor.

I/ We have understood and accepted the Schedule of Charges as stated here in above.

	Authorised Signatory	Authorised Signatory	Authorised Signatory
SIGNATURE			

Branch Official Name: _____

Branch Official Signature: _____

2/3

Voluntary and Limited purpose POA in favour of Broker for operational requirements as per client authorization/ instruction.**POWER OF ATTORNEY****POWER OF ATTORNEY IN FAVOUR OF 5paisa CAPITAL LIMITED**

This Power of Attorney (POA) is made by the persons mentioned in the Schedule 1 in favour of "5paisa Capital Limited", a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at 143, MGR Road, Perungudi, Chennai, Tamil Nadu - 600 096 (hereinafter referred to as '5paisa', an expression deemed to mean and include its successors and assigns) WHEREAS 5paisa Capital Limited is a member of the National Stock Exchange of India Limited ("NSE") (bearing SEBI registration nos. INZ000010231 on the Capital Market Segment, Futures & Options Segment and Currency Derivatives Segment respectively), Bombay Stock Exchange Limited ("BSE") (bearing SEBI registration nos. INZ000010231 on the Cash Market Segment and Derivatives Segment)..

AND WHEREAS 5paisa Capital Limited is a Depository Participant with the Central Depository Services (India) Limited (hereinafter referred to as "CDSL") having SEBI registration number IN-DP-CDSL_____.

AND WHEREAS 5paisa Capital Limited is registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Registration no. ARN104096.

AND WHEREAS I/We wish to avail / I/We am/ are a client availing of the services offered by 5paisa and has entered into necessary documents/ agreement(s) ("Client Agreements") with 5paisa for transacting in securities with/ without On-Line trading/ E-broking & web based facilities and/ or services through its website www.5paisa.com or any other website used for offering said Services. Details of my/ our Trading and Demat account with 5paisa are provided in Schedule

1 AND WHEREAS for facilitating smooth operations of the said services being availed from 5paisa by me/ us, I/ We am/ are desirous of appointing an attorney and confer upon it powers hereinafter stated.

NOW THESE PRESENTS WITNESS that I/ We, do hereby, jointly and severally nominate, constitute and appoint "5paisa Capital Limited"

being a Stock Broker and Depository Participant registered with Securities and Exchange Board of India ("SEBI") acting through any of its directors, officers and/ or agents, as my/ our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me/ us, in my/ our name and on my/ our behalf and at my/ our risk and costs to do, exercise and perform all or any of the following acts, deeds and things:

1. To instruct the Depository Participant, being 5paisa to transfer securities held in my/our beneficial owner/demat account as provided in Schedule 2 or such other demat account as may be intimated by me/us to 5paisa from time to time ("client designated demat accounts") to such demat account of 5paisa as provided in Schedule 2 and/ or designated by 5paisa and intimated to me from time to time ("5paisa designated demat account") towards stock exchange related margin/ delivery obligations arising out of trades executed by me/ us through 5paisa on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
2. To make application and/ or issue instruction for creation/ invocation/ closure of pledge on the securities/ units held in my/ our client designated demat accounts in favour of 5paisa for the limited purpose of meeting the margin requirements in connection with the trades executed by me/ us through 5paisa on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
3. To credit my/ our client designated demat accounts with any securities that are to be delivered to me/ us/borrowed by me/ us.
4. Generally to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments for and delivery of securities arising out of transactions undertaken by me/ us under the agreements are duly and properly completed.

5. Pursuant to my/ our instruction, to make necessary applications on my/ our behalf to any officials or authorities in India, including but not limited to, the Central Government, and/or the Reserve Bank Of India, Income Tax Authority, Stock Exchanges, Securities and Exchange Board of India in connection with my/ our purchase/ sale/ transfer holding and continuing to hold securities, and to represent me in all respects before such authority/ies and establish without encumbrance the ownership of securities in my name.
6. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non-convertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments including usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.
7. Pursuant to my/ our instruction or instruction of my/our Authorised Representative, to apply for various products like Mutual Funds, Public issues of securities including debentures, rights, offer of shares, tendering shares in open offers etc.
8. Pursuant to my/ our instruction or instruction of my/our Authorised Representative, to acquire by subscribing to or by purchase of securities or any other investment products and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and/ or any other investment products including but not limited to Initial Public Offerings, Further Public Offerings, Buy Back Offers, Right Issues either through internet using identification number issued by any Authority from time to time or otherwise, and/ or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds and/ or otherwise as may be required to deal in the securities or other investment products.
9. Pursuant to my/ our instruction or instruction of my/ our Authorised Representative, to make applications for or to renounce and sign renunciation forms in respect of bonds/ debentures, right shares and additional shares of any Company/ Body/ Authority and to receive and hold such rights or additional shares bonds or debentures.
10. To issue orders and instructions for acquisitions and disposal of investments for and on behalf of myself/ourselves and to purchase or otherwise acquire, sell or otherwise dispose off and invest in securities.
11. To sign the necessary forms and other documents if any and to file the same with the company/ies and/ or Mutual Fund concerned for purchase, sell, redemption or otherwise transfer of such securities/ units of Mutual Funds and transferring it in my/ our name.
12. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/ issuer of Investment Product.
13. To receive statements and other documents pertaining to the above units/ securities and to acknowledge receipt of the same.
14. To do all such acts and things as may be necessary to effect the subscription/ purchase/ redemption or any other transaction in any securities and/ or Investment Product for which services are availed from 5paisa.
15. To debit the purchase price of such securities or any other fees/ charges etc. due to 5paisa and to discharge all obligation in this regard on my/ our behalf to 5paisa, in my account with 5paisa Capital Limited.
16. To operate and to give 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 client designated demat account(s) or towards the obligation for transactions done through 5paisa on NSE, BSE and any other Exchange, under my/our instructions.
17. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
18. To square off at its discretion my/ our position of transactions that are not delivery marked during the day.
19. To demand, receive and give good and effectual receipt(s)

- and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/ or income arising from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend/ interest warrants or certificates, receive all debts, sums of money, principal, interest, dividend or other dues of whatever nature or account which are now or at any time due and payable and belong to me/us.
20. For the purpose of the aforesaid to sign contracts, agreements, transfers, acceptances, receipts, or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/authorities or department(s) and to do all such lawful acts requisite for effecting the same.
21. To correspond with and give notice to the corresponding Asset Management Company/ Body Corporate/ Registrar & Transfer Agent of securities including but not limited to giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated/ instructed by me/ us.
22. To comply and/ or cause to be complied with all statutory and other requirements attached to or arising out of these premises and for these purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.
23. To send consolidated summary of my/ our scrip wise buy and sell positions taken with average rates by way of SMS/ e-mail at my/ our registered mobile no./ email id as provided by me/ us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
24. To arrange to return to me/ us the securities that may have been received by 5paisa erroneously or those securities that 5paisa is not entitled to receive from me/ us.
25. For all or any of the purpose aforesaid to appoint from time to time a representative and to revoke such representation but so that the appointment of any such representative shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointments.
26. To do or omit to do all such acts and things as 5paisa may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.

27. My/ Our Attorney 5paisa shall not be liable for any loss that may result from failure/ inability of electronic connectivity or rejection of my/ our application for any reason whatsoever.
28. My/ our Attorney 5paisa shall not be liable for any transaction processed on the basis of information provided by 5paisa to the issuers/ owners of securities or investment products in the applications or otherwise based on the information provided by me/ us.

AND I/ We hereby agree that 5paisa shall exercise such powers and authorities conferred under the above Power of Attorney only pursuant to the instructions in that behalf given by me/ us or my/ our Authorised Representative, which may be given orally, over the telephone, through the internet, electronically or in any other manner acceptable to 5paisa and such instructions shall be deemed to have been given by me/ us and shall not be questioned by me/ us and shall be conclusive and binding on me/ us.

My/ Our "Authorised Representative" for the purpose this Power of Attorney shall mean Mr. _____, or such other person appointed by me/ us and intimated by me/ us in writing to the Attorney from time to time.

AND I/ We hereby agree that all such acts done by my/ our above mentioned attorney shall be deemed to be acts done by me/ us and if necessary shall be ratified by me/ us on the instructions of the said attorney.

AND I/ WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney shall be valid, effective and operative and shall remain in force till the termination of the Member -Client Agreement and/ or any other agreement(s) that I/ We have entered into with 5paisa.

I/ We may revoke this Power of Attorney at any time by giving a notice to 5paisa in writing and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents.

Such notice shall be duly signed by me/ us and should be received at:

143, MGR Road, Perungudi, Chennai, Tamil Nadu - 600 096. I/ We hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other charges & expenses till the date of revocation due to the Attorney as per its records are paid/ cleared in full.

This document shall be subject to the jurisdiction of the Courts in _____.

MADE and executed at _____ on this _____ day of _____ 20_____.

Login ID:



SCHEDULE 1

	Name	Age	Address
Authorised Signatory (Trading Account Client)			
Authorised Signatory			
Authorised Signatory			
Trading Account No./ Client ID			
Demat Account No.			

SCHEDULE 2

Client Designated Demat Account Nos.:

<div></div>	<div></div>
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5paisa Designated Demat Account Nos:

DP Name: **5paisa Capital Limited**

DP Name: **India Infoline Limited**

DP ID: 12082500 (CDSL)	DP ID: IN302269 (NSDL)
1208250000000012 1208250000000027 1208250000000031 1208250000000046 1208250000000050 1208250000000071	IN30226914495926 IN30226914346750 IN30226914360711

IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year hereinabove written

<div>Signed and Delivered by</div> <div><div>18/19</div></div> <div>Authorised Signatory</div>	<div></div> <div>Authorised Signatory</div>	<div></div> <div>Authorised Signatory</div>
--	---	---

CLIENT'S WITNESS FOR POWER OF ATTORNEY (for and on behalf of the Client)

Witness 1

Name

Address

Signature

Witness 2

Name

Address

Signature

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

For **5paisa Capital Limited**

3/3

Authorised Signatory

Date:



(This document is Mandatory in case of HUF account executing Power of Attorney)

**NO OBJECTION CERTIFICATE/POWER OF ATTORNEY
[HUF DEMAT/ TRADING ACCOUNT]**

To,
Spaisa Capital Limited
Chennai.

Dear Sir/ Madam,

Sub: Declaration of Coparcener(s)

I/We hereby declare that I/we are coparceners of the HUF _____ with _____ as "Karta". I/We have opened Trading and/or Demat account with you under HUF category. I/We hereby declare that I/We am/are authorizing the said Karta to execute the transactions and to do all such needful acts/deeds in our Demat/Trading account. I/We further authorize the Karta to appoint any other attorney and authorize him/her/it to act on behalf of the HUF and Coparcener(s) with regard to the operations of the said Demat/Trading account. The details of our account are given below:

BO ACCOUNT DETAILS:

DP ID: CDSL DP ID:

Client ID:

Login ID:

LIST OF CO-PARCENERS:

Sr. No.	Name	Sex [M/F]	Date of Birth	Relationship with Karta	PAN No.	Signature
1.						<input type="text"/>
2.						<input type="text"/>
3.						<input type="text"/>
4.						<input type="text"/>
5.						<input type="text"/>
6.						<input type="text"/>

I/We hereby state that the details mentioned as above are true and any change in them would be intimated to you in writing.

Name of the Karta _____

Signature & Stamp of Karta alongwith stamp of HUF:

Place : _____

Date : _____

AUTHORIZATION LETTER

To,

Date: ____/____/____

Spaisa Capital Limited
143, MGR Road, Perungudi,
Chennai, Tamil Nadu - 600 096

Sir,

A. Availing Mutual Fund Service System (MFSS) facility/ BSE StAR MUTUAL FUND (hereinafter jointly referred to "Mutual Fund Transaction Facilities") ☐ Yes ☐ No

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and BSE StAR MUTUALFUND of NSE and BSE respectively.

I/We therefore request you to register me/us as your client for participating in the Mutual fund transaction facilities (MFSS and BSE StAR MUTUALFUND).

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated 24/11/09, BSE Circular dated 02/12/2009 and further circulars as may be specified by the Exchanges from time to time in this regard.

I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). For the said purpose of availing these facilities, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/We further confirm that the details contained in same remain unchanged as on date.

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

With reference to my application for registering as a client for Mutual Fund Transaction facilities offered by NSE and BSE, I/We hereby undertake to provide funds to the Participant equivalent to the subscription amount and applicable brokerage/ fees/ charges before applying for mutual fund units through the Participant.

For this purpose, I/We hereby authorize Spaisa Capital Limited to utilize the surplus funds in my/our Broking account held with Spaisa Capital Limited in its capacity as a Stock Broker and transfer funds to the extent of subscription amount and/or applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/ our Mutual fund transaction account.

My/our exposure limits in my trading account shall be reduced to the extent of the amount utilized for transacting in the mutual fund units as per my instruction. In case of subscription request, I/We hereby understand and agree that based on my instruction, the amount will be debited in my Mutual fund transaction account and surplus funds shall be transferred from my Broking account to my mutual fund transaction account as per this authority letter. I/We further agree and understand that such funds will be used by the Participant for applying for mutual fund units after deducting the applicable brokerage, fees, charges and other statutory levies. I/We agree and undertake to make good such shortfall immediately as may be informed by Spaisa Capital Limited from time to time.

In case of a redemption request, I/We agree and authorise Spaisa Capital Limited to debit my mutual fund transaction account to the extent of applicable brokerage, fees, charges and other statutory levies and further authorize to utilize the surplus funds in my/our Broking account held with India Spaisa Capital Ltd., in its capacity as a Stock Broker and transfer funds to the extent of applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

B. Authorization for Systematic Investment in Mutual Fund / Securities ☐ Yes ☐ No

I/We hereby authorize Spaisa to execute an order in my/our account held with Spaisa for purchase of the securities and/or mutual fund units under systematic investment plan on my/ our behalf as per my/our instructions.

I/We further agree and understand that all the terms and conditions of the trading agreement/terms and condition entered into/agreed with Spaisa shall be also applicable to the instructions for systematic investment in mutual fund units / securities and I/We hereby agree to abide by the same at all times.

I/We understand that the instructions for systematic investment can be given by me in writing or through the online facility provided by Spaisa or over recorded telephone line. I/We hereby agree and understand that the said instructions shall be valid and binding upon me/us until modified and/or cancelled by me/us by giving valid instruction to Spaisa either in writing or through the online facility provided by Spaisa.

I/We hereby undertake to give an ECS mandate/ standing instruction in favor of Spaisa towards my/our trade obligations arising out of this authorization or I/we hereby authorize Spaisa to execute order under SIP on the basis of clear fund available in my ledger account and as per risk management policy.

I/We hereby authorize 5paisa to debit my/our trading account held with 5paisa towards my/our trade obligations and all the fees, charges, taxes, brokerage etc due and payable by me/us.

I/We understand that this authorization can be revoked by me/us at any time by giving a written notice atleast 30 days in advance to 5paisa. I/We understand that such revocation shall be effective from the date of receipt of confirmation of the same from 5paisa. I/We agree and undertake to fulfill all my/our obligations as per the instructions for systematic investment arising in my/ our account before the effective date of such revocation.

I/We agree to abide by the Terms and Conditions applicable for Systematic Investment in Mutual Fund and/or Securities and any amendments thereto at all times.

I/We undertake to indemnify and keep indemnified 5paisa and its directors / officers for all trades executed on my / our behalf as per the instructions given by me/us.

C. RUNNING ACCOUNT AUTHORISATION ☐ Yes ☐ No

Authorisation to 5paisa Capital Limited

- a) I would like to keep securities purchased by me with you as collateral for giving me exposure limits in my trading account/margin obligation. I authorize you not to transfer shares/securities purchased by me to my demat beneficiary account and keep them with yourselves. I also authorise you to pledge these shares/ securities with the Clearing Member/ Exchange/Custodian, at your discretion. In case any of the shares/securities are sold in subsequent settlements, you may take this as a standing instruction to adjust against my previous purchase positions in any of Exchanges.
- b) Whenever I require delivery of any shares/securities, I shall send you a written request. I understand that such payout of securities will be made subject to your risk management policies.
- c) In case there is a debit balance in my account, you are authorized to sell at any point of time the shares/ securities held by me/ held on my behalf, at your sole discretion. Any profit or loss made on such transactions will be to my account as it would have occurred on normal purchase/sale made by me. I also agree to pay the balance amount, if any after deducting credit of sale of shares.
- d) I also request you not to issue cheques /make payments settlement wise unless specifically demanded by me, as payin and payout are very close and therefore exchange of cheque becomes unnecessary paper work.
- e) I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
- f) I further authorise you to set off/ adjust any of my debits/dues in any segment of any Exchange with credits of any other segment(s) of any Exchange(s) in my account within the period of settlement of my account (Securities and Funds) as opted by me.
- g) The Securities lying in client beneficiary account on my/our behalf and/or credit balances lying in my/our ledger account of any segments of any Exchanges can be considered as margin for the any segments of any Exchanges.
- h) I/We understand that this authorization shall remain valid until revoked by me/us. I/we undertake to clear all my dues arising during the validity of this authorization else the member shall recover all my/our dues in my/our ledger till date. I also undertake to clear all my dues to you before serving revocation of this authorisation else the member will recover all my dues in my ledger till date and then effect the revocation.
- i) I/We further wish to have settlement of my account (funds and securities):- (Tick any one option):-

☐ Once in Quarter ☐ Once in Month

I /We understand that settlement amount shall be subject to retention of requisite securities/ funds towards outstanding obligations and margins in my account calculated in the manner specified by SEBI/ Exchange and details mentioned in the "Statement of Account" at the time of settlement. I /We authorise you to send the statement of account on funds and securities as on the date of settlement to my internet trading account or e-mail id registered with you. I /We understand that I /We can obtain a copy of the same from any of your Branch offices.

I /We understand and authorize that you will not release the payout in case the balance after necessary retention is upto Rs.10000/- in any of the quarters, till my revocation in writing as I /We will be doing regularly trading with you.

I also undertake to bring any dispute arising from Statement of accounts or settlement so made to your notice within seven working days from the date of receipt of funds/securities or Statement as the case may be.

So kindly maintain my account as a running account basis for funds and securities.

D. AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE ☐ Yes ☐ No

I/We hereby consent to receive from 5paisa Capital Limited the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id).

E-mail Id : _____ I/We further hereby agree that the 5paisa Capital Ltd. shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that:

- (i) The above is my/ our personal E-mail id. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. 5paisa shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- (ii) E-mails sent to any of the above mentioned e-mail account, which have not bounced back, shall be deemed to be duly delivered to the me/us.
- (iii) 5paisa shall not take cognizance of out-of-office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- (iv) Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by 5paisa.
- (v) I/We further agree that 5paisa may at its sole discretion also provide / discontinue such statements in physical form.
- (vi) 5paisa shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- (vii) 5paisa shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from 5paisa.
- (viii) I/We shall inform 5paisa by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the Email given above.
- (ix) I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with 5paisa. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
- (x) I/We shall inform in writing in prescribed format to 5paisa to discontinue the said facilities. I/We and 5paisa shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.

I/We shall immediately inform 5paisa about change in email address, if any. I/We further agree that 5paisa will not be responsible for nonreceipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify 5paisa and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

E. AUTHORISATION FOR ONLINE TRADING SOFTWARE PASSWORD ☐ Yes ☐ No




I wish to use online Trading Software in this regards Following:-

- I. Please send my system-generated, internet account first time as well as subsequent, password on the above mobile numbers. Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number. As soon as I receive the system generated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending.
- II. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the 5paisa immediately and request for re-setting of my Password.

- III. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher for anybody else and should be preferably alpha-numeric and not my or any family member's name/ surname.
- IV. I am fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/ misuse of the Password. I understand 5paisa will not be responsible or liable in any manner whatsoever for the same.

DECLARATION




- i. I am aware that the mobile number shall be updated in all your records and databases including trading and demat account.
- ii. I declare that the above is my personal mobile number and is always in my safe custody. I shall keep 5paisa informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, 5paisa would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
- iii. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs along with my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.
- iv. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further, I agree and undertake to indemnify 5paisa and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non-litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.
- v. I/We confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents.
 - SMS Alerts Facility by depository : I/ We consent to CDSL providing to the service provider such information pertaining to account/ transactions in my/ our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee/ charges as may be levied by the depository from time to time. I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.
 - Terms & Conditions For Distribution of Securities.
 - Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUALFUND offered by NSE and BSE respectively.
 - Terms and Condition for availing systematic investment in Mutual fund/Securities

	Authorised Signatory	Authorised Signatory	Authorised Signatory
SIGNATURE			

(SPECIMEN COPY OF THE BOARD RESOLUTION) (To be provided by the Corporate clients on the letterhead)

CERTIFIED TRUE COPY OF A RESOLUTION PASSED BY THE BOARD OF DIRECTORS OF THE COMPANY AT THEIR MEETING HELD ON _____, 20____ AT THE REGISTERED OFFICE OF THE COMPANY

"RESOLVED THAT the Company be and is hereby authorised to open a Demat account with Spaisa Capital Limited ("Spaisa"), Member of Bombay Stock Exchange Limited (BSE), National Stock Exchange of India Limited (NSE), and Central Depository Services (India) Limited (CDSL) for purpose of dealing in Securities in Capital/Cash, Derivatives/F&O & Currency Derivative segment and the said Member be and is hereby authorized to honor instructions oral or written, given on behalf of the Company by any of the following authorized signatories:

Sr. No.	Name	Designation	Specimen Signature
1.			
2.			
3.			

RESOLVED FURTHER THAT the abovementioned officials are authorized to sell, purchase, transfer, endorse, negotiate and / or otherwise deal in securities through Spaisa Capital Limited on behalf of the Company.

RESOLVED FURTHER THAT the abovementioned officials be and are hereby authorized to jointly / severally sign, execute and submit such applications undertaking, agreements DP instructions and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and account and give effect to this resolution."

RESOLVED FURTHER THAT all the abovementioned officials would have authority to act on behalf of the Company and their actions will be binding on the Company."

RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary as per the applicable provisions of the Articles of Association of the Company, in the presence of any of the Directors of the Company who shall sign the same in token of their presence,"

For _____

Managing Director/ Company Secretary

FORMAT FOR BANK VERIFICATION LETTER

To,
Spaisa Capital Limited
Chennai.
Dear Sir,
This is to certify that _____ (name of the client) resident of _____ (full address), is holding a savings/current bank account no. _____ with our _____ branch since _____. The signature and photograph of the account holder as per the specimen recorded with us is being attested below.

Authorised Signatory



Signed in my presence and attested

(Name of Branch Manager)

Signature of Branch Manager

(Sign under bank stamp)

MICR code of Branch

Put Bank stamp across photograph

FORMAT OF DECLARATION TO BE GIVEN BY PARTNERS ON LETTERHEAD OF THE FIRM

To,
Spaisa Capital Limited
143, MGR Road, Perungudi,
Chennai, Tamil Nadu - 600 096

Dear Sir/Madam,

- I / We, have submitted an application for opening a single / joint account for opening a Beneficial Owner [BO] account in the category "individual" for holding and carrying out transactions in respect of securities belonging to our firm, since as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75 (8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of Section 41 of The Companies Act, 1956.
- I / we represent the firm.
- In consideration of you having agreed to accept the Permanent Account Number [PAN] issued by the Income Tax Department [ITD] to the firm along with our individual identity documents, I / We acknowledge and undertake as under:-
 - The acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognize our firm.
 - I / We shall continue to be responsible for complying with the relevant provisions of The Companies Act, 1956 and the Rules made thereunder and other applicable Laws failing which I / we shall be responsible for the consequences thereof.

NAME OF PARTNERS* (IN BLOCK LETTERS)	SIGNATURES*
	
	
	

*(to be signed by all the partners of the firm under stamp of the firm)

FORMAT OF DECLARATION OF BENEFICIAL OWNERS
(REQUIRED AS PER SEBI CIRCULAR NO. CIR/MIRSD/2/2013 DATED JANUARY 24, 2013) (TO BE PRINTED ON LETTER HEAD)

I. For clients other than Individual and trust

A - Controlling ownership interest through capital & profits (Refer Note 1)

		% of Ownership
1.		
2.		
3.		
4.		
5.		

B - Control over the juridical person through other means (Refer Note 2) (Applicable where no natural person exerts control as per A above)

Sr. No.	Name of the natural person	Details of control through voting rights, agreement, arrangements or in any other manner
1.		
2.		
3.		
4.		
5.		

C - Name of the natural person holding position of Senior Managing Official (Applicable where no natural person is identified in A & B above)

Sr. No.	Name of the natural person	Position/ designation of Senior Managing official
1.		
2.		
3.		
4.		
5.		

II. For clients which is Trust

Name of Trust	
Trustee	1. 2. 3.
Protector	1. 2. 3.
The beneficiaries with 15% or more interest in the trust	1. 2. 3.
Name(s) of any other natural person exercising ultimate effective control over the trust through a chain of control or ownership	1. 2. 3.

For _____ (Name of the client)

SIGNATURE  

Name _____ **Designation** _____

Date: _____

Place: _____

NOTES:

1) Controlling ownership interest through capital & profits: List of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

Sr. No.	Where the juridical person is	Ownership of/entitlement to
1	A company	More than 25% shares or capital or profits
2	A partnership	More than 15% capital or profits
3	An unincorporated association or body of individuals	More than 15% of the property or capital or profits

2) Control over the juridical person through other means: where there exists doubt under clause IA above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership, provide list of natural person exercising control through other means i.e. through voting rights, agreement, arrangements or in any other manner.

Note: Kindly submit shareholding / ownership details in case 25% / 15% as mentioned above is held by Juridical person till beneficial owner is satisfactorily identified

ONLY FOR THE ACCOUNTS SOURCED BY SUB BROKERS/ AUTHORISED PERSONS

Date: _____
 Client ID: _____ Login ID: _____

SUB BROKER/ AUTHORISED PERSONS DETAILS

Sub broker's / Authorised Person's Code : _____
 Sub broker's / Authorised Person's Name : _____
 Sub broker's / Authorised Person's Address : _____
 Pincode : _____
 Sub Broker/ Authorised Person's Signature :  Client's Signature : 

FORM CHECKED BY

Name of Sub Broker/ Authorised Person : _____
 Signature :  Date : _____
 Branch Address : _____
 Pincode : _____
 Name of the Employee of HO : _____
 Employee Code : _____
 Signature : 

OTHER INFORMATION ABOUT 5paisa

LIST OF DESIGNATED BANKS

1. HDFC BANK
2. ICICI BANK
3. AXIS BANK
4. SBI

LIST OF DESIGNATED DEPOSITORY PARTICIPANTS

1. 5paisa CAPITAL LIMITED

NOTE: 5paisa reserves the right to make any modifications in the above lists.

DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENT:

We refer to circular no. SEBI / MRD / SE / Cir.42 / 2003 dated 19/11/2003 issued by Securities and Exchange Board of India in connection with the above and in terms of the said circular we disclose that we have undertaken proprietary trading, arbitrage as well as investment business on our account in addition to Client based business.

For Branches and Locations of 5paisa Capital Limited please visit our
website: www.5paisa.com



5paisa Capital Limited,

Regd. Office: 143, MGR Road, Perungudi, Chennai, Tamil Nadu - 600 096 · Tel: + 91 44 4398 2500 · Fax: + 91 44 4380 4002

Corporate Office: Hubtown Solaris, Ground Floor, Office No. 1, Prof. N S Phadke Marg,
Andheri (East), Mumbai - 400 069 · Tel: + 91 22 6108 6300

Member: NSE (Cash, Currency & Derivatives) SEBI Regn. No: INZ000010231 · BSE (Cash & Derivatives) SEBI Regn. No: INZ000010231