Internal Reference No.: _____

Libord Brokerage Pvt. Ltd.

MEMBER: BSE, NSE, MCX

SEBI REGN. NO.: INZ 000006536

MEMBER: CDSL

SEBI REGN. NO.: IN-DP-379-2018

INDIVIDUAL / NON INDIVIDUAL MEMBER CLIENT REGISTRATION KIT

FOR EQUITY/DERIVATIVES/CURRENCIES/COMMODITIES & DEMAT SERVICES

Registration Date								

NAME OF CLIENT : _____

UNIQUE CLIENT CODE : _____

HEAD OFFICE/BRANCE CODE : _____

TERMINAL CODE : _____

EMAIL ID : _____

REF / INTRODUCED BY : _____

DOCKET SENT BY : _____

DOCKET REVEIVED BY : _____

REGD. OFFICE: 104, M. K. Bhavan, 300, Shahid Bhagat Singh Road, Fort, Mumbai - 400 001.
TEL.: +91-22-2265 8108/09
CORPORATE OFFICE: 524, B wing, Chintamani Plaza, Near WEH Metro Station,
Andheri Kurla Road, Chakala, Andheri (East), Mumbai - 400 099.
Tel.: +91-22-62782900/960.
EMAIL ID: info@libord.com • **WEBSITE:** www.libordbroking.com
EMAIL ID FOR CUSTOMER GRIEVANCES: customergrievances@libord.com

Name of Broker	**LIBORD BROKERAGE PVT. LTD.**
Trading cum Clearing Member: BSE (Cash), NSE (Cash), NSE (F&O), MCX,	SEBI Registration No.: INZ000006536
Trading Member: BSE (F&O), BSE (Currency), NSE (Currency)	
Name of Clearing Member:	**SMC Global Securities Ltd.**
BSE (Currency)	SEBI Registration No. : **INZ000199438**
BSE (F&O)	SEBI Registration No. : **INZ000006536**
NSE (Currency)	SEBI Registration No. : **INZ000199438**
Name of Depository Participant	**Libord Brokerage Pvt. Ltd.**
SEBI Registration No. DP	**IN-DP-379-2018**
Registered office address:	104, M. K. Bhavan, 300, Shahid Bhagat Singh Road, Fort, Mumbai - 400 001. Tel.No.: +91-22-2265 8108/09/10 • Fax No: +91-22-2266 2520. Website: www.libord.com
Corporate office address:	B/524, Chintamani Plaza, Mohan Studio Compound, Andheri Kurla Road, Andheri (East), Mumbai - 400 099. Tel No.: +91-22-62782900
CEO Name & Phone no. & Email id:	**Lalit Kumar Dangi,** 022-2265 8108 • Email id: lalit@libord.com
Compliance officer Name & Phone no. & Email id:	**Nawal Agrawal** **022-62782905** , Email id: compliance@libord.com

For any grievance/dispute please contact **LIBORD BROKERAGE PVT. LTD.** at the above address or email id: customergrievances@libord.com or Phone no. +91-22-62782900/2960. In case not satisfied with the response, please contact the concerned exchange(s):

For National Stock Exchange of India Ltd. at ignse@nse.co.in or Ph. No. 1800 22 0058
For BSE Ltd. at is@bseindia.com or Ph. No. 022 2272 8097
For Multi Commodity Exchange of India Ltd. at grievance@mcxindia.com or Ph.No.: 022-6649 4070

DISCLOSURE IN TERMS OF SEBI CIRCULAR NO.: SEBI/MRD/SE/CIR-42/2003 DATED NOVEMBER 19, 2003
LIBORD BROKERAGE PVT. LTD. besides doing client based business also does its own investment and/or trading. "Proprietary Trading Disclosure noted"

CKYC/KRA Registration details (For office purpose only)

If client is already registered with KRA ☐ Yes ☐ No

If yes please fill in below details:

☐ CAMS ☐ KARVY ☐ Dot Ex of NSEIL

☐ NDML ☐ CVL ☐ Others _____ (Please tick (✓) any one)

Date of fetching KRA: ☐☐☐☐☐☐☐☐

CERSAI Registration No.: _____

Risk Assessment of Client in terms of PMLA 2002

Type of Client	High Risk	Low Risk	Medium Risk	CSC (Client Special Category)	PEP (Politically Exposed Person)

Categorisation of client would be changed only if there is change based on risk assessment of the client during his dealings with Libord Brokerage Pvt. Ltd.

S.N.	Name of the Document	Brief Significance of the Document	Pg. No
A. MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, Depository & EXCHANGES			
1.	Account Opening Form	A. KYC & CKYC FORM - Document captures the basic information about the constituent and respective instruction/ checklist.	2-12
		B. Document captures the additional information about the constituent relevant to trading account.	13-16
2.	Rights and Obligations of Members, Sub-Broker, Authorized Persons and Client	This Document states the Rights & Obligations of Member, Sub-Broker, Authorized Persons and Client for trading on Exchanges (including additional rights & obligations in case of internet/wireless technology-based trading).	17-25
3.	Risk Disclosure Document (RDD)	This Document details risks associated with dealing in the Securities & Commodities Markets.	26-29
4.	Guidance Note	This Document lists down the do's and don'ts for trading on Exchange, for the education of the Investors.	30-31
5.	Policies and Procedures	Document describing significant policies and procedures of the broker.	32-34
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock/commodity exchanges.	35
B. DP SECTION:			
7.	DP FORM	Document captures the additional information about the constituent relevant to DP Account Opening Form, Nomination Form and Rights & Obligations.	36-43
8.	TRUST & SMS Alert	This contains terms & conditions regarding TRUST and SMS alert facility.	44-46
9.	Option Form for DIS booklet	DIS Booklet for DP Client.	47
10.	Schedule of DP Charges	Document detailing the charges levied on the client of various categories.	48
C. VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
11.	Customer Profile	This Document enables us to know your interest in the Stock Market/Commodity Market so that we can serve you better.	49
12.	Running Account Authorisation	This Document enables you to maintain your account on a running account basis.	50
13.	ECN Authorisation	This document authorizes the member to send Contract Notes/ Related reports/DP Statements in digital form and the terms and conditions for the issuance thereof.	51
14.	Letter of Authority	Letter for smooth functioning of account.	52
15.	Other Voluntary Documents	Document contains Client Defaulter Declaration, Declaration by NRI/FN, Authority to debit the demat account operating charges & SMS/ E mail alert authorisation.	53-54
16.	Format of Board Resolution	To be provided on letterhead of the Company if applicable.	55
17.	PMLA	The Act to prevent financial of terrorism and to prevent laundering of money.	56-57
18.	FATCA	CRS Declaration.	58

Note: Libord Brokerage Pvt. Ltd. is also referred to as LBPL/ Broker/Member.

Annexure's to the form are mandatory to be filled as per new / amended formats as prescribed by the SEBI/ Stock Exchange(s)/Depositories, as may be applicable.

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) (Mandatory)/ Passport / Voter ID card / Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:
(*Documents having an expiry date should be valid on the date of submission.)

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

D. Exemptions/clarifications to PAN
(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

Types of entity	Documentary requirements
Corporate	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures.
Partnership firm	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners.
Trust	• Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	• PAN 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	• Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	• Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	• Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	• 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.

ANNEXURE – 2

KNOW YOUR CLIENT (KYC) APPLICATION FORM

MANDATORY

For Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS				PHOTOGRAPH
Name of the Applicant				Please affix your recent passport size photograph and sign across it excluding face
Father's/ Spouse Name				
Gender	❑ Male ❑ Female	**Marital status**	❑ Married ❑ Unmarried	
Date of birth		**Nationality**		
Status	❑Resident Individual ❑ Non Resident ❑ Foreign National			
PAN		**Unique ID No./Aadhaar, if any:**		
Specify the proof of Identity submitted				☞

ADDRESS DETAILS							
Residence Address				Permanent Address (If different from Correspondence Address or overseas address mandatory for Non-Resi. Applicant)			
City/Town/Village		Pin		City/Town/Village		Pin	
State		Country		State		Country	
Resi No.(s)		Off. No.(s)		Resi No.(s)		Off. No.(s)	
Fax No.(s)				Fax No.(s)			
Mobile No.				Mobile No.			
Email				Email			
Specify the proof of address submitted for Residence Address				Specify the proof of address submitted for Permanent Address			

❑ Passport ❑ Driving License ❑ Ration Card ❑ Registered Lease/Sale Agreement of Residence
❑ Voter Id Identity Card ❑ Latest Bank Account Statement* ❑ Latest Bank Passbook*
❑ Latest Electricity Bill ❑ Latest Gas Bill* ❑ Aadhar Card (Mandatory)
❑ Others (Please Specify) * Not More than three months old.

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.

Name of the applicant				☞
			Signature	
Place		**Date**		

FOR OFFICE USE ONLY

❑ Originals verified and Self-Attested document copies received	**Signature of the Authorised Signatory**	**Seal/Stamp of the intemediary**
	Name	
	Signature	
	Designation	
	Date	

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

Important Instructions:

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

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

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTO

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

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

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

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

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

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

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify ☐ Simplified Measures Account - Document Type code

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

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

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

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

Name* Prefix First Name Middle Name Last Name

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)**

8. APPLICANT DECLARATION

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

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

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

Important Instructions:

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

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

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTO

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

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

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

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

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

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

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify ☐ Simplified Measures Account - Document Type code

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

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

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

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

Name* Prefix First Name Middle Name Last Name

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)**

8. APPLICANT DECLARATION

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

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

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

Important Instructions:

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

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

Application Type* ☐ New ☐ Update
KYC Number *(Mandatory for KYC update request)*
Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	Prefix	First Name	Middle Name	Last Name
☐ Name* (Same as ID proof)				
Maiden Name (If any*)				
Father / Spouse Name*				
Mother Name*				

Date of Birth* D D – M M – Y Y Y Y

PHOTO

Signature / Thumb Impression

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Marital Status* ☐ Married ☐ Unmarried ☐ Others

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

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

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

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

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

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

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y
☐ B- Voter ID Card
☐ C- PAN Card
☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y
☐ E- UID (Aadhaar)
☐ F- NREGA Job Card
☐ Z- Others (any document notified by the central government) Identification Number
☐ S- Simplified Measures Account - Document Type code Identification Number

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar) ☐ Voter Identity Card ☐ NREGA Job Card ☐ Others please specify ☐ Simplified Measures Account - Document Type code

Address

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

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

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

Tel. (Off) – Tel. (Res) – Mobile –

FAX – Email ID

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

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

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

Name* Prefix First Name Middle Name Last Name

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

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

☐ A- Passport Number Passport Expiry Date D D – M M – Y Y Y Y

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence Driving Licence Expiry Date D D – M M – Y Y Y Y

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

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

☐ S- Simplified Measures Account - Document Type code Identification Number

☐ **7. REMARKS (If any)**

8. APPLICANT DECLARATION

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

Date : D D – M M – Y Y Y Y Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date D D – M M – Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

1 Fields marked with '*' are mandatory fields.
2 Tick '✓' wherever applicable.
3 Self-Certification of documents is mandatory.
4 Please fill the form in English and in BLOCK Letters.
5 Please fill all dates in DD-MM-YYYY format.
6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
7 KYC number of applicant is mandatory for updation of KYC details.
8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

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

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

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

C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

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

1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1'**

F Clarification / Guidelines on filling 'Contact details' section

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

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

1 Provide KYC number of related person if available.

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

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

ANNEXURE – 2

KNOW YOUR CLIENT (KYC) APPLICATION FORM

MANDATORY

For Non-Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

IDENTITY DETAILS							
Name of the Applicant							
Date of incorporation		**Place of incorporation**					
Date of commencement of business			**PAN**				
Registration No. (e.g. CIN)			**GST**				
Status (please tick any one): ❑ Private Limited Co. ❑ Public Ltd. Co. ❑ Body Corporate ❑ Partnership ❑ Trust							
❑ Charities ❑NGO's ❑FI ❑FII ❑HUF ❑AOP ❑Bank ❑Government Body ❑Non-Government Organization ❑ Defense							
Establishment ❑BOI ❑Society ❑LLP ❑Others (please specify)							

ADDRESS DETAILS							
Correspondence Address				Registered Address (If different from Correspondence Address)			
City/Town/Village		Pin		City/Town/Village		Pin	
State		Country		State		Country	
Resi. No. (s)		Off. No. (s)		Resi. No. (s)		Off. No. (s)	
Fax No. (s)				Fax No. (s)			
Mobile No.				Mobile No.			
Email				Email			
Specify the proof of address submitted for Correspondence Address				Specify the proof of address submitted for Registered Address			

OTHER DETAILS
Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: Please provide details on Annexure - A attached.
DIN of whole time directors: Provide details on Annexure - A attached.
Aadhaar number of Promoters/Partners/Karta: Provide details on Annexure - A attached.

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 aware that I/we may be held liable for it.			
Name of the Authorised Signatory	Date		☞
		Signature	

FOR OFFICE USE ONLY		
❑ Originals verified and Self-Attested document copies received	**Signature of the Authorised Signatory**	**Seal/Stamp of the intemediary**
	Name	
	Signature	
	Date	

Annexure - A

MANDATORY

Photographs of Promoters / Partners / Karta / Trustees / and Whole time directors and of persons authorized to deal in securities

Name of Applicant: _____ PAN of the Applicant: ☐☐☐☐☐☐☐☐☐☐

Name: _____

Regd./Residential Address: _____

_____

Tel. No.: _____ Mobile No.: _____

PAN: _____ DIN.: _____

Unique Identification Number(UID) / AADHAAR if Any: _____

Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person

Please tick, if applicable: ❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP) ❑ No

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it excluding face

Name: _____

Regd./Residential Address: _____

_____

Tel. No.: _____ Mobile No.: _____

PAN: _____ DIN.: _____

Unique Identification Number(UID) / AADHAAR if Any: _____

Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person

Please tick, if applicable: ❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP) ❑ No

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it excluding face

Name: _____

Regd./Residential Address: _____

_____

Tel. No.: _____ Mobile No.: _____

PAN: _____ DIN.: _____

Unique Identification Number(UID) / AADHAAR if Any: _____

Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person

Please tick, if applicable: ❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP) ❑ No

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it excluding face

Name: _____

Regd./Residential Address: _____

_____

Tel. No.: _____ Mobile No.: _____

PAN: _____ DIN.: _____

Unique Identification Number(UID) / AADHAAR if Any: _____

Relationship with Applicant: Promoters / Partners / Karta / Trustees / Whole Time Directors / Authorised Person

Please tick, if applicable: ❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP) ❑ No

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it excluding face

Name, Company Stamp & Signature of the Authorised Signatory(ies) Date ☐☐/☐☐/☐☐☐☐

For Individuals & Non-individuals

TRADING ACCOUNT RELATED DETAILS

MANDATORY

BANK ACCOUNT(S) DETAILS						
No.	Bank Name, Branch Address	Tel. No.	A/c Type	Account No.	MICR No.	IFSC Code

Please provide Cancelled Cheque leaf for MICR & IFSC Code

DEPOSITORY ACCOUNT(S) DETAILS				
Sr. No.	DP Name	DP ID No.	Beneficiary Name	BO ID
1				
2				
3				
4				
5				
6				
7				
8				

*Shares bought by you will be transferred to your DP A/c stated by you at Sr. No. _____
Commodities bought by you will be transferred to your DP A/c stated by you at Sr. No. _____

TRADING PREFERENCES				
*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.				
Ex. Segment	Cash Segment	Equity Derivatives	Currency Derivatives	Commodities Derivatives
BSE	☞	☞	☞	N.A.
NSE	☞	☞	☞	
MCX	N.A.			☞

* 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 LBPL.

OTHER DETAILS

1. Gross Annual Income details (please specify) : Income Range per annum

❑ Upto Rs. 1,00,000/- ❑ Rs. 1,00,001/- to Rs. 5,00,000/- ❑ Rs. 5,00,001/- to Rs. 10,00,000/-
❑ Rs. 10,00,001/- to Rs. 25,00,000/- ❑ Rs. 25,00,001/- to Rs. 100,00,000/- ❑ Above Rs. 100,00,001/-
Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. Occupation (please tick any one and give brief details) ❑ Private Sector ❑ Public Sector ❑ Government Service ❑ Business ❑ Student ❑ Professional ❑ Agriculturist ❑ Retired ❑ Housewife ❑ Others _____

3. Please tick, if applicable ❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP)

For Ind. only

4. Is the entity involved/providing any of the following services ❑ YES ❑ NO
   - For Foreign Exchange / Money Changer Services ❑YES ❑NO
   Gaming / Gambling / Lottery Services
   (e.g. casinos, betting syndicates) ❑ YES ❑ NO
   - Money Lending / Pawning ❑ YES ❑ NO

For NI only

5. **Any other information**

PAST ACTIONS

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

DEALINGS THROUGH SUB-BROKERS/AUTHORISED PERSON AND OTHER STOCK/COMMODITY BROKERS					
If client is dealing through the Sub-Broker/Authorised Person, provide the following details:					
Sub-Broker/AP Name & Exchange				SEBI Reg. No.	
Regd. Off.					
Address					
Signature X		Tel. No.			
		Fax No.			
		Website			

Whether dealing with any other stock/commodity broker/sub-broker (if in case dealing with multiple Stock/ Commodity Brokers/Sub-Brokers, provide details of all)

Name of Stock/Commodity broker	Name of Sub-broker, if any	Client Code	Exchange

Details of disputes/dues pending from/to such Broker/Sub-Broker/Authorised Person

ADDITIONAL DETAILS			
Specify mode of receiving contract notes and other documents			❑ Physical ❑ Electronic
Specify your Email id, if applicable:			
Internet trading/ Wireless trading facility (please specify):			❑ YES ❑ NO
Number of years of Investment/Trading Experience:			
In case of non-individuals, Name, Designation, PAN, UID, Signature, Residential Address and Photographs of Persons authorized to deal in Securities/Commodities on behalf of company/firm/others:_____			
Give Name(s): 1. _____ 2. _____ As per Board Resolution / Authority Letter attached & Details Given in Annexure A in respect of the persons so authorised. In case of Change, please give the required details as above.			
Any other information			

INTRODUCER DETAILS (Optional)

Name			
Address &			
Phone No.		Signature	
of Introducer		X	
Status/Relationship of the Introducer to Sub Broker / Authorized Person / Existing Client / Others, Please Specify			

NOMINATION DETAILS (FOR INDIVIDUAL ONLY)			
❑ I / We wish to nominate		❑ I / We do not wish to nominate	
Name of Nominee		Relation with Nominee	
Address		PAN No.	
		Tel. No.	
		Date of Birth	
If Nominee is a minor, details of Guardian			
Name of Guardian			
Address & Tel No.			
		Signature of Guardian	
Witnesses (Only applicable in case the account holder has made nomination)			
Name		Name	
Address		Address	
Signature		Signature	

DECLARATION

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

Name				Signature of Client/(all) Authorised Signatories	☞
Place		Date			

FOR OFFICE USE ONLY			
UCC Code allotted to the Client:			
Particulars	Documents verified with Originals	Client Interviewed / Approved by	In person Verification done by
Name of the employee			
Signature			
Designation of the employee			
Employee Code			
Date			

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:_____ Signature of the Authorised Signatory Seal/Stamp of the stock broker

ANNEXURE – 4

MANDATORY

RIGHTS AND OBLIGATIONS OF MEMBERS, SUB-BROKERS, AUTHORIZED PERSONS AND CLIENTS AS PRESCRIBED BY SEBI AND EXCHANGES

1. The client shall invest/trade in those securities/ commodities /contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws, Regulations and Business Rules/ of Exchanges/SEBI and circulars/notices issued there under from time to time.
2. The Member, Sub-broker, Authorized Person and the client shall be bound by all the Rules, Byelaws, Regulations and Business Rules of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the Member to deal in securities or deal in derivatives/ commodity derivatives contracts and wishes to execute its orders through the Member and the client shall from time to time continue to satisfy itself of such capability of the Member before executing orders through the Member.
4. The Member shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The Member shall take steps to make the client aware of the precise nature of the Member's liability for business to be conducted, including any limitations, the liability and the capacity in which the Member acts.
6. Requirements of professional diligence in Commodity derivative contracts:
   a. The Member must exercise professional diligence while entering into a financial contract or discharging any obligations under it.
   b. "professional diligence" means the standard of skill and care that a Member would be reasonably expected to exercise towards a Client, commensurate with-
      i. honest market practice;
      ii. the principle of good faith;
      iii. level of knowledge, experience and expertise of the Client;
      iv. the nature and degree of risk embodied in the financial product* or financial service
      v. being availed by the Client; and
      vi. the extent of dependence of the Client on the Member.
7. The Sub-Broker / Authorized Person shall provide necessary assistance and co-operate with the Member in all its dealings with the client(s).

CLIENT INFORMATION

8. The client shall furnish all such details in full as are required by the Member in "Account Opening Form" with supporting details, made mandatory by Stock Exchange/Commodity Exchanges/SEBI from time to time.
9. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the Member shall be non-mandatory; therefore, subject to specific acceptance by the client.
10. The client shall immediately notify the Member in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/ update the financial information to the Member on a periodic basis.
11. A. Protection from unfair terms in financial contracts offered by commodity exchanges
    a. An unfair term of a non-negotiated contract will be void.
    b. A term is unfair if it -
       i. causes a significant imbalance in the rights and obligations of the parties under the financial contract, to the detriment of the Client; and
       ii. is not reasonably necessary to protect the legitimate interests of the Member.
    c. The factors to be taken into account while determining whether a term is unfair, include
       i. the nature of the financial product or financial service dealt with under the financial contract;
       ii. the extent of transparency of the term;
       iii. the extent to which the term allows a Client to compare it with other financial contracts for similar financial products or financial services; and
       iv. the financial contract as a whole and the terms of any other contract on which it is dependent.
    d. A term is transparent if it -
       i. is expressed in reasonably plain language that is likely to be understood by the Client;

ii. is legible and presented clearly; and

iii. is readily available to the Client affected by the term.

e. If a term of a financial contract is determined to be unfair under point 11.A.c, the parties will continue to be bound by the remaining terms of the financial contract to the extent that the financial contract is capable of enforcement without the unfair term.

11.B.

a. "Non-negotiated contract" means a contract whose terms, other than the terms contained in point 11.C. (given below) are not negotiated between the parties to the financial contract and includes -

i. a financial contract in which, relative to the Client, the Member has a substantially greater bargaining power in determining terms of the financial contract; and

ii. a standard form contract.

b. "Standard form contract" means a financial contract that is substantially not negotiable for the Client, except for the terms contained in point 11.C.

c. Even if some terms of a financial contract are negotiated in form, the financial contract may be regarded as a non-negotiated contract if so indicated by -

i. an overall and substantial assessment of the financial contract; and

ii. the substantial circumstances surrounding the financial contract

d. In a claim that a financial contract is a non-negotiated contract, the onus of demonstrating otherwise will be on the Member.

11. C.

a. The above does not apply to a term of a financial contract if it -

i. defines the subject matter of the financial contract;

ii. sets the price that is paid, or payable, for the provision of the financial product or financial service under the financial contract and has been clearly disclosed to the Client; or

iii. is required, or expressly permitted, under any law or regulations.

b. The exemption under point 11.C does not apply to a term that deals with the payment of an amount which is contingent on the occurrence or non-occurrence of any particular event.

12. The Member and Authorized Person shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/ authority except as required under any law/ regulatory requirements. Provided however that the Member may so disclose information about his client to any person or authority with the express permission of the client.

13.A. Protection of personal information and confidentiality

a. "Personal information" means any information that relates to a Client or allows a Client's identity to be inferred, directly or indirectly, and includes

i. name and contact information;

ii. biometric information, in case of individuals

iii. information relating to transactions in, or holdings of, financial products

iv. information relating to the use of financial services; or

v. such other information as may be specified.

13. B.

a. A Member must -

i. not collect personal information relating to a Client in excess of what is required for the provision of a financial product or financial service;

ii. maintain the confidentiality of personal information relating to Clients and not disclose it to a third party, except in a manner expressly permitted under point 13.B.b.;

iii. make best efforts to ensure that any personal information relating to a Client that it holds is accurate, up to date and complete;

iv. ensure that Clients can obtain reasonable access to their personal information, subject to any exceptions that the Regulator may specify; and

v. allow Clients an effective opportunity to seek modifications to their personal information to ensure that the personal information held by the Member is accurate, up to date and complete.

b. A Member may disclose personal information relating to a Client to a third party only if -

i. it has obtained prior written informed consent of the Client for the disclosure, after giving the Client an effective opportunity to refuse consent;

ii. the Client has directed the disclosure to be made;

iii. the Regulator has approved or ordered the

disclosure, and unless prohibited by the relevant law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;

iv. the disclosure is required under any law or regulations, and unless prohibited by such law or regulations, the Client is given an opportunity to represent under such law or regulations against such disclosure;

v. the disclosure is directly related to the provision of a financial product or financial service to the Client, if the Member -

1. informs the Client in advance that the personal information may be shared with a third party; and

2. makes arrangements to ensure that the third party maintains the confidentiality of the personal information in the same manner as required under this Part; or

vi. the disclosure is made to protect against or prevent actual or potential fraud, unauthorised transactions or claims, if the Member arranges with the third party to maintain the confidentiality of the personal information in the manner required under this Part. -

c. "Third party" means any person other than the concerned Member, including a person belonging to the same group as the Member.

14. A. Requirement of fair disclosure both initially and on continuing basis

a. Member must ensure fair disclosure of information that is likely to be required by a Client to make an informed transactional decision.

b. In order to constitute fair disclosure, the information must be provided -

i. sufficiently before the Client enters into a financial contract, so as to allow the Client reasonable time to understand the information;

ii. in writing and in a manner that is likely to be understood by a Client belonging to a particular category; and

iii. in a manner that enables the Client to make reasonable comparison of the financial product or financial service with other similar financial products or financial services.

c. The types of information that must be disclosed to a Client in relation to a financial product or financial service, which may include information regarding -

i. main characteristics of the financial product or financial service, including its features, benefits and risks to the Client;

ii. consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;

iii. existence, exclusion or effect of any term in the financial product or financial contract;

iv. nature, attributes and rights of the Member, including its identity, regulatory status and affiliations;

v. contact details of the Member and the methods of communication to be used between the Member and the Client;

vi. rights of the Client to rescind a financial contract within a specified period; or

vii. rights of the Client under any law or regulations.

14. B.

a. Member must provide a Client that is availing a financial product or financial service provided by it, with the following continuing disclosures

i. any material change to the information that was required to be disclosed under point 14.A at the time when the Client initially availed the financial product or financial service;

ii. information relating to the status or performance of a financial product held by the Client, as may be required to assess the rights or interests in the financial product or financial service; and

iii. any other information that may be specified.

b. A continuing disclosure must be made -

i. within a reasonable time-period from the occurrence of any material change or at reasonable periodic intervals, as applicable; and

ii. in writing and in a manner that is likely to be understood by a Client belonging to that category.

MARGINS

15. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Member or the Exchange or as may be directed by SEBI from time to time as applicable to the segment(s) in which the client trades. The Member is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

16. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the

settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

17. The client shall give any order for buy or sell of securities/derivatives/commodity derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the Member however ensuring that the regulatory requirements in this regard are complied with. The Member shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
18. The Member shall inform the client and keep him apprised about trading/settlement cycles, delivery/ payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/ procedures of the relevant stock exchange/ commodity exchange where the trade is executed.
19. The Member shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the Member for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Bye-laws, Regulations/Business Rules, circulars and notices of Exchange.
20. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, Member shall be entitled to cancel the respective contract(s) with client(s).
21. The transactions executed on the Exchange are subject to Rules, Byelaws , Regulations/Business Rules and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations/Business Rules of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations/Business Rules of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

22. The Client shall pay to the Member brokerage and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Member renders to the Client. The Member shall not charge brokerage more than the maximum brokerage permissible as per the Rules, Bye-laws and Regulations/Business Rules of the relevant stock exchanges /commodity exchanges and/or Rules of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

23. Without prejudice to the Member's other rights (including the right to refer a matter to arbitration), the client understands that the Member shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
24. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities/commodities which the client has ordered to be bought or sold, Member may close out the transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities/commodities in favor of a Nominee shall be valid discharge by the Member against the legal heir.
25. The Member shall bring to the notice of the relevant Exchange the information about default in payment/ delivery and related aspects by a client. In case where defaulting client is a corporate entity / partnership / proprietary firm or any other artificial legal entity. Then the name(s) of Director(s) / Promotors / Partners(s) / Proprietor as the case may be, shall also be communicated by the member to the relevant exchanges.

DISPUTE RESOLUTION

26. The Member provide the client with the relevant contract details of the concerned exchanges and SEBI.
27. The Member shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery etc.
28. The client and the Member shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations/Business Rules of the Exchanges where the trade is executed and circulars/notices

issued thereunder as may be in force from time to time.

29. The Member shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.

30. The client/Member understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/Member shall be binding on the client/Member in accordance with the letter authorizing the said representative to deal on behalf of the said client/Member.

31 Requirement for each Member to have an effective grievance redress mechanism which is accessible to all its Clients

a. A Member must have in place an effective mechanism to receive and redress complaints from its Clients in relation to financial products or financial services provided by it, or on its behalf, in a prompt and fair manner.

b. A Member must inform a Client, at the commencement of relationship with the Client and at such other time when the information is likely to be required by the Client, of -

i. the Client's right to seek redress for any complaints; and

ii. the processes followed by the Member to receive and redress complaints from its Clients.

32. A. Suitability of advice for the Client

Right to receive advice that is suitable taking into account the relevant personal circumstances of the Client, such as the Clients financial circumstances and needs. This obligation would apply to persons who render advice to Clients and the regulator may specify categories of financial products and service that necessarily require such advice to be given.

a. A Member must -

i. make all efforts to obtain correct and adequate information about the relevant personal circumstances of a Client; and

ii. ensure that the advice given is suitable for the Client after due consideration of the relevant personal circumstances of the Client.

b. If it is reasonably apparent to the Member that the available information regarding the relevant personal circumstances of a Client is incomplete or inaccurate, the Member must warn the Client of the consequences of proceeding on the basis of incomplete or inaccurate information.

c. If a Client intends to avail of a financial product or financial service that the Member determines unsuitable for the Client, the Member -

i. must clearly communicate its advice to the Client in writing and in a manner that is likely to be understood by the Client; and

ii. may provide the financial product or financial service requested by the Client only after complying with point 31.A.a and obtaining a written acknowledgement from the Client.

33. Dealing with conflict of interest

In case of any conflict between the interests of a Client and that of the Member, preference must be given to the Client interests.

a. A member must -

i. provide a Client with information regarding any conflict of interests, including any conflicted remuneration that the Member has received or expects to receive for making the advice to the Client; and

ii. give priority to the interests of the Client if the Member knows, or reasonably ought to know, of a conflict between -

1. its own interests and the interests of the Client; or

2. the interests of the concerned Member and interests of the Client, in cases where the Member is a financial representative.

b. The information under point 32a.i. must be given to the Client in writing and in a manner that is likely to be understood by the Client and a written acknowledgement of the receipt of the information should be obtained from the Client.

c. In this section, "conflicted remuneration" means any benefit, whether monetary or non-monetary, derived by a Member from persons other than Clients that could, under the circumstances, reasonably be expected to influence the advice given by the Member to a Client.

TERMINATION OF RELATIONSHIP

34. This relationship between the Member and the client shall be terminated; if the Member for any reason ceases to be a member of the stock exchange/commodity exchange including cessation of membership by reason of the Member's default, death, resignation or expulsion or if the certificate is cancelled by the Exchange.

35. The Member, Sub-Broker/Authorized Person and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the

respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.

36. In the event of demise/insolvency of the Sub-Broker/Authorized Person or the cancellation of his/its registration with the Board or/withdrawal of recognition of the Sub-Broker/Authorized Person by the stock exchange /commodity exchange and/ or termination of the agreement with the Sub-Broker/Authorized Person by the Member, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the Member and all clauses in the 'Rights and Obligations' document(s) governing the Member, Sub-Broker/Authorized Person and client shall continue to be in force as it is, unless the client intimates to the Member his/ its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

37. The member shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares etc. in respect of transactions routed through to it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

38. The Member and client shall reconcile and settle their accounts from time to time as per the Rules, Bye Laws, Regulations/Business Rules, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.

39. The Member shall issue a contract note to his clients for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The Member shall send contract notes to the investors within one working day (in case of stock exchanges) and / or 24 hours (in case of commodity exchanges) of the execution of the trades in hard copy and/or in electronic form using digital signature.

40. The Member shall make pay out of funds or delivery of securities / commodities as per the Exchange Rules, Bye-Laws, Regulations/Business Rules and Circulars, as the case may be, to the Client on receipt of the pay out from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.

41. The Member shall send a complete `Statement of Accounts' for both funds and Securities / Commodities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Broker. The Member should also send Global Transaction Report to the clients as prescribed by SEBI / Exchanges.

42. The Member shall send margin statements to the clients on daily basis. Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee, Warehouse Receipts, Securities etc.

43. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with Member and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

44. In case, where a member surrenders his/ her/ its membership, Member gives a public notice inviting claims, if any, from investors. In case of a claim relating to transactions executed on the trading system of the Exchange, ensure that client lodge a claim with the Exchange within the stipulated period and with the supporting documents.

45. A. Protection from unfair conduct which includes misleading conduct & abusive conduct
    a. Unfair conduct in relation to financial products or financial services is prohibited.
    b. "Unfair conduct" means an act or omission by a Member or its financial representative that significantly impairs, or is likely to significantly impair, the ability of a Client to make an informed transactional decision and includes
        i. misleading conduct under point 45.B
        ii. abusive conduct under point 45.C
        iii. such other conduct as may be specified.

45.B.

a. Conduct of a Member or its financial

representative in relation to a determinative factor is misleading if it is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise, and the conduct involves -

i. providing the Client with inaccurate information or information that the Member or financial representative does not believe to be true; or
ii. providing accurate information to the Client in a manner that is deceptive.

b. In determining whether a conduct is misleading under point 45.B.a, the following factors must be considered to be "determinative factors" -

i. the main characteristics of a financial product or financial service, including its features, benefits and risks to the Client;
ii. the Client's need for a particular financial product or financial service or its suitability for the Client;
iii. the consideration to be paid for the financial product or financial service or the manner in which the consideration is calculated;
iv. the existence, exclusion or effect of any term in a financial contract, which is material term in the context of that financial contract;
v. the nature, attributes and rights of the Member, including its identity, regulatory status and affiliations; and
vi. the rights of the Client under any law or regulations.

45. C.

a. A conduct of a Member or its financial representative in relation to a financial product or financial service is abusive if it -

i. involves the use of coercion or undue influence; and
ii. causes or is likely to cause the Client to take a transactional decision that the Client would not have taken otherwise.

b. In determining whether a conduct uses coercion or undue influence, the following must be considered -

i. the timing, location, nature or persistence of the conduct;
ii. the use of threatening or abusive language or behaviour;
iii. the exploitation of any particular misfortune or circumstance of the Client, of which the Member is aware, to influence the Client's decision with regard to a financial product or financial service;
iv. any non-contractual barriers imposed by the Member where the Client wishes to exercise rights under a financial contract, including
v. the right to terminate the financial contract;
vi. the right to switch to another financial product or another Member and
vii. a threat to take any action, depending on the circumstances in which the threat is made.

ELECTRONIC CONTRACT NOTES (ECN)

46. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id (created by the client) to the Member (Kindly refer Additional details of Annexure 3). Member shall ensure that all the rules/Business Rule/Bye-Laws/ circulars issued from time to time in this regard are complied with. The client shall communicate to the Member any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.

47. The Member shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamperable and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.

48. The client shall note that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note at the e-mail ID of the client.

49. The Member shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant rules/circulars/guidelines issued by SEBI/Equity/Commodity exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the Member for the specified period under the extant rules/ circulars/guidelines issued by SEBI/Equity// Commodity exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The Member shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant rules/circulars/guidelines issued by SEBI/Stock exchanges/Commodity exchanges.

50. The Member shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the Member

shall send a physical contract note to the client within the stipulated time under the extant Rules, Bye-Laws, Regulations/Business Rules and Circulars of SEBI/Stock Exchanges/Commodity Exchanges and maintain the proof of dispatch and delivery of such physical contract notes.

51. In addition to the e-mail communication of the ECNs to the client, the Member shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

52. The Electronic Contract Note (ECN) declaration form will be obtained from the Client who opts to receive the contract note in electronic form. This declaration will remain valid till it is revoked by the client.

LAW AND JURISDICTION

53. In addition to the specific rights set out in this document, the Member, Authorised Person and the client shall be entitled to exercise any other rights which the Member or the client may have under the Rules, Bye-laws and Regulations/Business Rules of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules of SEBI.

54. The provisions of this document shall always be subject to Government notifications, any rules, guidelines and circulars/notices issued by SEBI and Circulars, Rules, Bye laws and Regulations/Business Rules of the relevant equity/commodity exchanges, where the trade is executed, that may be in force from time to time.

55. The Member and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal, if either party is not satisfied with the arbitration award.

56. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations/Business Rules and circulars/notices issued thereunder of the Exchanges/SEBI.

57. All additional voluntary/non-mandatory clauses/ document added by the Member should not be in contravention with Rules/ Regulations/ Business Rules/Notices/Circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.

58. If the rights and obligations of the parties hereto are altered by virtue of change in Rules of SEBI or Bye-laws, Rules,Regulations and Business Rules of the relevant equity/commodity exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

59. Members are required to send account statement to their clients every month.

Signature of Client : _____

Place : _____

Date : _____

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERS TO CLIENT
(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Member is eligible for providing Internet based trading (IBT) and securities/commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The Member shall comply with all requirements applicable to internet based trading/securities/ commodities trading using wireless technology as may be specified by SEBI& the Exchanges from time to time.

2. The client is desirous of investing/trading in securities/commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities/commodities trading through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.

3. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/internet or any other technology should be brought to the notice of the client by the Member.

4. The Member shall make the client aware that the Member's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.

5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Member's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ securities/commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the Member

6. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/ password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.

7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ securities/commodities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.

8. The Member shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the Member shall send the order/trade confirmation on the device of the client.

9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without any interruption.

10. The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, non-availability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Members/ Exchange end for any reason beyond the control of the Member/Exchanges.

Signature of Client : ☞ _____

Place : _____

Date : _____

ANNEXURE – 5

MANDATORY

RISK DISCLOSURE DOCUMENT

This document contains important information on trading in equities/derivatives/commodity derivatives segments of the Exchanges. All perspective constituents should read this document before trading in equities/ derivatives/ commodity derivatives segments of the Exchanges.

The Exchanges/SEBI does not expressly or impliedly, guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure documents nor have the Exchanges/SEBI endorsed or passed any merits of participating in trading segments. This brief statement does not disclose all the risks and other significant aspects of trading. You should study equities/derivatives/commodity derivatives trading carefully before becoming involved in it.

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

You must know and appreciate that trading /investment in securities/commodity futures contracts/ derivatives or other instruments traded on the Exchange(s), which have varying elements 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 the Exchange(s) and suffer adverse consequences or loss, you shall be solely responsible for the same and the Exchange(s)/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 the plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned member. The Constituent/Client shall be solely responsible for the consequences and no contract can be rescinded 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 derivatives/ commodity derivatives being traded on the Exchange(s).

It must be clearly understood by you that your dealings on the Exchange(s) through a Member shall be subject to your fulfilling certain formalities set out by the member, which may, inter alia, include your filing the know your client form, reading the Rights & Obligations, Do's and Don'ts, etc., and are subject to Rules, Byelaws and Regulations/ Business Rules of the relevant Exchanges, its Clearing Corporations, guidelines prescribed by SEBI from time to time and circulars as may be issued by the Exchange(s) from time to time.

The Exchange(s) do not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any member of the Exchange and/ or third party based on any information contained in this document. Any information contained in this document must not be construed as business advice/ investment 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 whether to trade, you should be aware of or must get acquainted with the following:-

1. Basic Risks involved in the trading of Securities/ Commodity Futures Contracts and other Derivatives Instruments on the Exchange.

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security /derivative/commodity derivative contracts undergo when trading activity continues on the Exchanges. Generally, higher the volatility of a security/ derivative/commodity derivative contracts, greater is its price swings. There may be normally greater volatility in thinly traded security /derivative/commodity derivative contracts than in actively traded security /derivative/commodity derivative contracts. As a result of volatility, your order may only be partially executed or not 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 and/or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/ or sell security /derivative/commodity derivative contracts expeditiously at a competitive price and with minimal price difference. Generally, it is assumed that more the number of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for traders to buy and/or sell security /derivative/ commodity derivative contracts swiftly and with minimal price difference and as a result, traders are more likely to pay or receive a competitive price for security /derivative/commodity derivative contracts purchased

or sold. There may be a risk of lower liquidity in some security /derivative/commodity derivative contracts as compared to active security /derivative/commodity derivative contracts. As a result, your order may only be partially executed may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying / Selling security /derivative/commodity derivative as part of a day trading strategy, i.e., without intention of giving and or taking delivery of certain securities/commodities may also result into losses, because in such a situation, security /derivative/commodity derivative contracts may have to be sold/ purchase i.e., squared off at a low/high price compared to expected price levels, so as not to have any open position or obligation to deliver or receive such security /derivative/commodity derivative.

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 /derivative/commodity derivative 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/commodities/ derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

Most of the exchanges have a facility for investors to place "limit orders", "stop loss" orders etc. Placing of such orders (e.g. stop orders or limit orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 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 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 that security /derivative/commodity derivative 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 client received 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 security /derivative/commodity derivative contract, and such order gets activated if and when the contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the contract approaches pre-determined 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 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 including announcements by traders/manufacturers may impact the price of the security /derivative/commodity derivative contracts. These announcements 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 /derivative/commodity derivative contracts.

1.6 Risk of Rumors:

Rumours about Companies/Currencies/Commodities at times float in the market through word of mouth, newspaper, websites or news agencies, etc., the investors/traders should be wary of and should desist from acting on rumours.

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 participants continuously modifying their order quantity or prices or placing fresh orders, there may be delays in execution of order and its confirmation.

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 /derivative/commodity derivative contract due to any action on

account of unusual trading activity or price hitting circuit filters or for any other reason.

1.8 System/ Network Congestion

Trading on the Exchange(s) is in electronic mode, based on satellite/ leased line 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 the 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 unexecuted 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 "Leverage" 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/ principal investment amount. But transactions in derivative contracts carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives contracts 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 relatively short period of time. Moreover, the loss may exceed the original margin amount.

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

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

C. Under certain market conditions, an Investor may find it difficult or impossible to execute the 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, increases in the cash margin rate or others. These new measures may 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 the security/derivative/ commodity 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 programmes 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 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 client/customer or that a client/customer will not incur losses from 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.
3. 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.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology or any other technology should be brought to the notice of the client by the member.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'member/broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

4.3 Deposited cash and property:

You should familiarize yourself with the protections accorded to the money or other property you deposit particularly in the event of a firm become insolvent or bankrupt. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property, which has been specifically identifiable as your own, will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall. In case of any dispute with the Member of the Exchange, the same shall be subject to arbitration as per the Rules, Bye-laws and Business Rules of the Exchange.

4.4 Commission and other charges:

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

4.5 For Rights and Obligations of the Members/Authorised Persons/ clients, please refer to Annexure 4

Signature of Client : _____

Place : _____

Date : _____

ANNEXURE-6

MANDATORY

GUIDANCE NOTE - DO'S AND DON'TS FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on websites or Exchange(s) at www.nseindia.com, www.bseindia.com, www.mcxindia.com, www.ncdex.com, www.cdslindia.com and SEBI website: www.sebi.gov.in
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the Member.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the Member. Note that the clauses as agreed between you and Member cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/ Exchange(s).
6. Obtain a copy of all the documents executed by you from the Member free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Member, authorizing to operate your Bank and Demat account, please refer to the guidelines issued by SEBI/Exchange(s) in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The Member may issue electronic contract note (ECN) if specifically authorized by you in writing. You should provide your email id to the Member for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the Member.
11. Make the payment by account payee cheque in favour of the Member. Don't issue cheques in the name of sub-broker, stating date, scrip, quantity, toward which bank/Demat account such money or securities deposited and from which bank/Demat account.
12. Note that facility of Trade Verification is available on stock exchanges/commodity exchanges websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the investors grievance Cell of the relevant Exchange(s).
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities/commodities (as the case may be), may not be made to you within one working day/24 hours from the receipt of payout from the Exchange(s). Thus, the Member shall maintain running account for you subject to the following conditions:

    a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.

    b) The actual settlement of funds and securities/commodities shall be done by the Member, at least once in a calendar quarter or month, depending on your preference. while settling the account, the member shall send to you a 'statement of account' containing an extract from the client ledger for funds and an extract from the register of securities/commodities displaying all the receipts/deliveries of funds and securities/commodities. The statement shall also explain the retention of funds and securities/ commodities and the details of the pledged securities/commodities, if any.

    c) On the date of settlement, the Member may retain the requisite securities/commodities/funds towards outstanding obligations and may also retain the fund expected to be required to meet derivatives margin obligations for next 5 trading days, calculated in the manner specified by the exchange(s). In respect of cash market transactions, the member may retain entire pay-in obligation of funds and securities/ commodities due from clients as on date of settlement and for next day's business, he may retain funds/ securities/commodities/ margin to the extent of value of transactions executed on the day of such settlement in the cash market.

d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the Member in writing preferably within 7 (seven) working days from the date of receipt of funds/ securities / commodities or statement, as the case may be. In case of dispute, refer the matter in writing to the investors Grievance Cell of the relevant Exchange(s) without delay.

14. In case you have not opted for maintaining running account and pay-out of funds/ securities / commodities in not received on the next working day of the receipt of payout from the exchange(s), please refer the matter to the Member. In case there is dispute, ensure that you lodge a complaint in writing immediately with the investors Grievance Cell of the relevant Exchange(s).

15. Please register your Mobile number and email id with Member, to receive trade confirmation alerts/ details of the transaction through SMS or email, by the end of the trading day, from the Exchange(s).

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a Member surrenders his membership, or is expelled from membership or declared a defaulter; Exchange(s) give a public notice inviting claims relating to only the "transaction executed on the trading system" of Exchange(s), from the investors. Ensure that you lodge a claim with the relevant Exchange(s) within the stipulated period and with the supporting documents.

17. Familiarize yourself with the protection accorded to the money and/or securities / commodities you may deposit with your Member, particularly in the event of a default or the Member's insolvency or bankruptcy and the extent to which you may recover such money and/or securities/commodities may be governed by the Bye-laws and Regulations/Business Rules of the relevant Exchange(s) where the trade was executed and scheme of the investors' Protection Fund in force from time to time.

DISPUTES/ COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the member and investor complaints against the Member are displayed on the website of the relevant Exchange(s).

19. In case your issue/problem/grievance is not being sorted out by concerned member/sub-broker then you may take up the matter with the concerned Exchange(s). if you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.

20. Note that all the Member/sub-broker have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.

Signature of Client : _____

Place : _____

Date : _____

POLICIES AND PROCEDURES FOR CLIENT DEALINGS WITH LIBORD BROKERAGE PVT. LTD. (LBPL)

a. Refusal of orders for penny stocks/illiquid commodities future contract

Although, the term 'Penny stock' has not been defined by any Stock Exchanges or SEBI a penny stock generally refers to a stock which has following mentioned characteristics:

- Has small market capitalization;
- Trades at a price less than its face value;
- Has unsound fundamentals;
- Is illiquid (A list of illiquid securities is jointly released by the Exchanges from time to time.)

LBPL recognizes that it is client's privilege to choose shares in which he/she would like to trade. However, LBPL like to have special attention to dealing in 'Penny stocks' to this end,

- LSBPL shall have the absolute discretion, from time to time, to refuse/partially refuse to execute any client's orders in penny stocks/illiquid options/writing of options/far month options, and such commodities not in demat form, commodities which are not on the permitted list of the Member/Exchanges/SEBI and/ or appear under illiquid commodities declared by the exchange(s) without assigning any reason for the same.
- Any large order for purchase or sale of a "Penny stocks" may be referred to Head - Dealing, before such orders can be put in the market for execution.
- Clients must ensure that trading in "Penny stock" doesn't result in creation of artificial volume or false or misleading appearance of trading. Further, clients should ensure that trading in "Penny stock" doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stock.
- Clients are expected not to place orders in penny stocks at prices which are substantially different from the prevailing market prices. Any such order is liable to be rejected at the sole discretion of LBPL. LBPL will not be responsible for any loss of opportunity by the client, if any, on account of the same.
- In case of sale of penny stocks, client should ensure delivery of shares/commodities to LBPL before the pay-in-date.

b. Setting up client's exposure limit:

- Exposure limit for each client is determined by the Risk Management Department based on Net-worth information, client's financial capacity, prevailing market conditions and Margin deposited by client in the form of funds/ securities / commodities with the LBPL. These limits may be set exchange-wise, segment-wise, & scrip-wise.
- LBPL retains the discretion to set and modify from time to time any client's exposure limit decided as above.
- The limits are determined by Risk Management Department based on the above criteria and payment history of the client in consultation with Sales Team.
- Whenever, any client has taken over or wants to take exposure in any security/ commodity/ currency, LBPL may call for appropriate margins in the form of early pay-in of shares/commodities or funds before or after execution of trades in the security / commodity / currency segment. In case of margin shortfall, the clients are told to reduce the position immediately or requested to deposit extra margin to meet the shortfall. Otherwise, LBPL may refuse to trade on behalf of such client in its own discretion.

c. Applicable brokerage rate:

- The applicable brokerage rate is mentioned in the Client registration form and any further changes in the brokerage rate is communicated to the client in writing.
- The maximum brokerage chargeable will not exceed as prescribed by SEBI and Exchanges.
- The client will be charged other charges such as Stamp Duty, Transaction charge, STT, CTT & GST which will be recovered on the basis of actual charges levied.

d. Imposition of penalty / delayed payment charges by either party,
Specifying the rate and the period:

- Penalty and other charges levied by Exchanges pertaining to trading of the client shall be recovered from the respective client.
- If there is delay on part of client in satisfying his/her margin obligation or settlement obligations, then, LBPL shall levy interest at the maximum rate of 2% per month or part thereof on such shortage amount for the delayed period on such client. LBPL shall recover such delayed payment charges from the client by debiting the client's

account.

- No interest or charges will be paid by LBPL to any client in respect of retention of funds/securities/commodities towards meeting future settlement obligations and in respect of running account authorizations.

e. **Right to sell client's securities or commodities or close client's positions, without giving notice to the client, on account of non-payment of client's Dues:**

- LBPL has the right to close out/ liquidate or square off any open position of the client (limited to the extent of Settlement / Margin obligation) without giving any prior notice, all or any of the client's position as well as Securities / Commodities / Collaterals placed as Margins for non-payments of margin or other lawful amounts due from such client in respect of settlement or any other dues that are recoverable from the client by LBPL. The proceeds of the same shall be adjusted against the client's trade liabilities / obligations. Any loss or financial charges on account of such close-out / liquidation shall be debited to the client's account.

f. **Shortages in obligations arising out of internal netting of trades:**

- To determine the net obligation of a Broker (TradingMember/Trading Cum Clearing Member)for Securities / Commodities and Funds in a settlement, Clearing House does the netting of trades at the Broker level. It is possible that a Broker's net obligation towards Clearing House may be nil but due to default by one or more clients in satisfying their obligations towards the Broker, the Broker internally might have shortages to fulfil its obligation towards other client(s). In such situation, LBPL shall endeavour to collect the securities / commodities from the selling client and deliver it to the purchasing client within 48 hours of the settlement date. In case the selling client is unable to deliver the securities / commodities within 48 hours, then LBPL may attempt to purchase the security / commodity from the market and deliver it to the purchasing client. If LBPL is unable to obtain the securities / commodities from the market, then the transaction will be closed out as per the auction rate prescribed by the Exchange for that scrip / commodity and the closing amount will be credited to the purchasing client and same will be debited to the selling client.

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

LBPL shall have absolute discretion and authority to limit client's volume of business or to close any existing position of a client without giving any prior notice to the client under following mentioned conditions:

- Extreme volatility in the market or in particular scrip / commodity or in the F&O segment.
- If there is shortfall in the margin deposited by client with LBPL.
- If there is insider trading restrictions on the client.
- If there are any unforeseen adverse market conditions or any natural calamities affecting the operation of market.
- If there are restrictions imposed by Exchange or Regulator on the volume of trading outstanding positions of contracts.
- If the client is undertaking any illegal trading practice or the client is suspected to be indulging in money laundering activities.
- If LBPL has reached its limit in that scrip/commodity.
- If the clients have breached the client - wise limit.
- If the client has taken or intends to take new position in a security which is in the ban period.
- If due to abnormal shortfall in the market, if the market(s)is / are closed.

h. **Temporarily suspending or closing a client's account based at the Client's request:**

- Any client desirous of temporarily suspending his or her trading account has to give such request in writing to the management. After management's approval, any further dealing in such client's account will be blocked. Whenever, any suspended account wants to resume trading, request in writing should be made to management and management may ask for updated financial information & other details for reactivating such account. After receiving necessary documents, details etc. and approval from the management, client is reactivated & is allowed to carry out transaction.
- Similarly, any client desirous of closing his/her account permanently is required to inform in writing and the decision in this regard is taken by management. After necessary approval from the management, the client code is deactivated. Only after scrutinizing the compliance requirements and "no pending queries" confirmation is taken, securities / commodities and Funds accounts are settled.

i. **Deregistering a Client**

LBPL may, in its absolute discretion, decide to deregister a particular client. The illustrative circumstances under which LBPL may deregister a client are given below:

- SEBI or any other regulatory body has passed an order against such client, prohibiting or suspending such client from participating in the securities / commodities Market.
- Death or lunacy or disability resulting in inaction of the client.
- Breach of any term, condition or covenant of this mandatory & voluntary client registration document.
- Detection of any misrepresentation of facts by the client.
- Such client has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guideline, or circular governing securities / commodities Market.
- Such client is suspected of indulging in illegal or criminal activities including fraud or money laundering.
- Such client's name appears in the UN list of prohibited entities or SEBI debarred list.
- Such client's account has been lying dormant for a long time or client is not traceable.
- Such client has been declared insolvent or any legal proceedings to declare him/her as such have been intended.
- Such client has been irregular in fulfilling obligations towards margin or settlement dues.
- Such client has a tainted reputation and any business relationship with such clients is likely to tarnish the reputation of LBPL or may act as detriment to LBPL's prospects.

  Any outstanding dues in the client's account will be communicated and collected from the client and the client will be liable to pay such dues immediately on receiving such communication.

j. **Policy for Dormant In-active account:**

As per Broker's RMS policy, the account in which no transactions have taken place during the period of 6 months from the date of last transactions, the same shall be considered as Dormant/ In-active Account.

Such transaction date may relate to any of the following date, whichever is later (a) entry related to contract or bill generation for buy/sell transaction or (b) entry related to payment of funds or securities / commodities by client or (c) entry passed by the Broker by way of JV due to any dues /obligation recoverable from client including but not limited to auction charges, any penalty amount whether or not imposed by Exchange or SEBI or other Authorities etc.

In order to reactivate the account, the client shall have to make a written request for reactivation of his trading account with recent proofs & any upgradation in the KYC form.

k. **Return of clients assets:**

When a client is declared inactive all the securities / commodities of the client are transferred to the Demat account of the client. The funds payable to the clients shall be returned to the client. If for any reason, the funds and securities / commodities of the clients cannot be transferred to the client's Bank account or the Demat account then the same shall be transferred into a separate account of the LBPL. The funds and securities / commodities shall be held in the separate account until the time LBPL hears from the client or his / her representative.

l. **Client Acceptance of Policies and Procedures stated hereinabove:**

- I/we have clearly understood and agree to abide by aforesaid policies and procedures.
- I/we also understand and agree that these policies and procedures can be changed by LBPL from time to time subject to posting of the amendments and modification therein on its website. The changes will be done with the consent of the client proceeded by notice as per applicable laws rules & regulations of Exchange/SEBI and their applicability with prospective effects.

Client's Signature _____

Place _____

Date _____

TARIFF SHEET

Name of Segment	Name of Exchange	Type of Transaction	Schedule of Charges				
			*First Leg %	*Second Leg %	Minimum Paisa per Share	*Buy/ Sell Side %	Buy/Sell Side per lot in Rs.
Equity Segment	BSE/NSE	1. Same day square off (Intra-day)				N.A.	N.A.
		2. Delivery	N.A.	N.A.			N.A.
Futures Segment (Equities & Commodities)	BSE/NSE /MCX	Same day square off			N.A.	N.A.	N.A.
		1. Carryover trades	N.A.	N.A.	N.A.		
Options Segment Commodities)	MCX		N.A.	N.A.	N.A.	N.A.	
Currency Derivatives	BSE/NSE		N.A.	N.A.	N.A.	N.A.	

* % of Turnover

The above given brokerage will be exclusive of the following charges.

Note:

1. Brokerage will not exceed the limits prescribed by Exchange/SEBI from time to time.
2. The above rates are exclusive of Transaction charges, Stamp Duty, Securities/Commodities Transaction Tax, GST, SEBI Fees & Clearing Member Charges and other applicable charges which will be charged extra at the rate(s) prevailing from time to time.

☞

Client's Signature	Signature of Sub-broker / Authorised Person / Introducer	Signature of Broker

LIBORD BROKERAGE PVT. LTD.
104, M. K. Bhavan, 300, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001.

CDSL
Your Depository

Additional KYC Form for Opening a Demat Account (Individual)

(To be filled by the Depository Participant)

Application No.									Date								
DP Internal Reference No.																	
DP ID	1	2	0						Client ID	0	0	0					

(To be filled by the applicant in **BLOCK LETTERS** in English)
I / We request you to open a demat account in my / our name as per the following details: -

Holders Details

Sole / First Holder's Name																						
PAN											UID											
Second Holder's Name																						
PAN											UID											
Third Holder's Name																						
PAN											UID											

Name*	

* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

Type of Account **(Please tick whichever is applicable)**

Status	Sub – Status		
❑ Individual	❑ Individual Resident ❑ Individual HUF / AOP ❑ Minor	❑ Individual-Director ❑ Individual Promoter ❑ Others (specify)	❑ Individual Director's Relative ❑ Individual Margin Trading A/C (MANTRA)
❑ NRI	❑ NRI Repatriable ❑ NRI Non-Repatriable Promoter	❑ NRI Non-Repatriable ❑ NRI – Depository Receipts	❑ NRI-Repatriable Promoter ❑ Others (specify)
❑ Foreign National	❑ Foreign - National	❑ Foreign National - Depository Receipts	❑ Others (specify)

Details of Guardian **(in case the account holder is minor)**

Guardian's Name		PAN										
Relationship with the applicant												

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')	❑ Yes ❑ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	❑ Yes ❑ No

Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑ Fortnightly ❑ Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID_____	❑ Yes ❑ No

I/ We would like to share the email ID with the RTA	❑ Yes ❑ No
I / We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Electronic)	

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❑ Yes ❑ No

Bank Details (Dividend Bank Details) **MICR code starting with 000 will not be eligible for ECS.**

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	❑ Saving	❑ Current	❑ Cash Credit	❑ Others (specify)					
Bank Name									
Branch Name									
Bank Branch Address									
City	State		Country		PIN				

(i) Photocopy of the cancelled cheque having the name of the account holder, place where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

OTHER DETAILS

1. Gross Annual Income details (please specify): Income Range per annum

❑ Upto Rs. 1,00,000/- ❑ Rs. 1,00,001/- to Rs. 5,00,000/- ❑ Rs. 5,00,001/- to Rs. 10,00,000/-
❑ Rs. 10,00,001/- to Rs. 25,00,000/- ❑ Above Rs. 25,00,001/-
Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

2. **Occupation (please tick any one and give brief details)**	❑ Private Sector ❑ Public Sector ❑ Government Service ❑ Business ❑ Student ❑ Professional ❑ Agriculturist ❑ Retired ❑ Housewife ❑ Others (Specify) _____
3. **Please tick, if applicable**	❑ Politically Exposed Person (PEP) ❑ Related to a Politically Exposed Person (RPEP)
4. **Any other information**	

SMS Alert Facility Refer to Terms & Conditions given as **Annexure-2.4**	❑ Yes MOBILE NO. +91_____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	❑ No

Transactions Using Secured Texting Facility (TRUST).
Refer to Terms and Conditions Annexure – 2.6

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility.
I/We have read and understood the Terms and Conditions prescribed by CDSL for the same.

☐ Yes

☐ No

I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

easi	❑ Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	❑ No

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature	☞	☞	☞

(Signatures should be preferably in black ink). **(In case of more authorised signatories, please add annexure)**

Annexure-A

Nomination Form

Format for providing Nomination for Demat Account and MF Folios

(To be filled by individual applying singly or jointly)

	LIBORD BROKERAGE PVT. LTD. B/524, Chintamani Plaza, Andheri Kurla Road, Andheri (East), Mumbai -400099.
	UCC Code: -
Date	**DP ID** 1 2 0 8 6 2 0 0 **Client ID**

Mandatory Details

1. I / We wish to make nomination [as per details given below upto 3 persons]

	Details	1st Nominee	2nd Nominee	3rd Nominee
1	Name of the nominee*			
2	Relationship with the Applicant			
3	Date of Birth (to be provided in case the nominee is a minor)			

2. I want the following nomination details to be printed in the account/holding statements (tick one of the boxes below):

☐ Name of the Nominee(s)
☐ Whether nomination given: Yes / No (not name of the nominee)

3. **Optional details of nominatio**n:

	Details	1st Nominee	2nd Nominee	3rd Nominee
a)	% Share of nominee** (equal share if % is not specified)			
b)	Mobile of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact details)			
c)	Email ID of nominee*** (Please note that the DP / MF RTA will be able to reach out to your nominee if you provide the contact			
d)	Specify Personal identifier document*** o Aadhaar (last four digit), o PAN, o Driving License, o Passport			

**Any odd lot after division shall be transferred to the first nominee mentioned in the form.
*** The aforesaid details shall be optionally provided for the Guardian, in case of nominee is a minor.

4 **Signature:**

Name(s) of holder(s)	Signature(s) of holder****
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

****If nomination is submitted:

- **Online:** validate through Digital Signature Certificate or Aadhaar-based e-sign or by using any other e-sign facility recognized under Information Technology Act, 2000 or two factor authentication (2FA) in which one of the factors shall be a One-Time Password (OTP) sent to the registered mobile number and email address.
- **Physical / offline**: wet signature (signature of witness shall not be required). However, if thumb impression (instead of wet signature) is affixed, then the same shall be witnessed by two persons and details of such witnesses (name and address) shall be duly provided in this form.

Note:

- Investors can provide, changes or cancel nominations any number of times.
- The signature of all the joint holders shall be obtained for providing / changing nomination regardless of mode of operations.
- This nomination shall supersede any prior nomination made by the investor(s), if any.
- Investors can change nomination any number of times.
- Investor have the right to receive acknowledgement of the nomination form for each instance of nomination / subsequent change.

***

Annexure -B

Declaration for Opting-out of Nomination

To, **LIBORD BROKERAGE PVT. LTD.** B/524, Chintamani Plaza, Andheri Kurla Road, Andheri (East), Mumbai - 400099.	**Date**								
UCC Code:									
DP ID	**1**	**2**	**0**	**8**	**6**	**2**	**0**	**0**	
Client ID (only for Demat account)									
Sole/First Holder Name									
Second Holder Name									
Third Holder Name									

I hereby confirm that I do not wish to appoint any nominee(s) to my demat account/ mutual fund folio at this point of time.

I understand that —

(i) the nomination helps to quickly identify the person for transfer of securities and helps in faster and smoother transmission of my securities to my legal heir(s) after my demise.

(ii) in the absence of a nomination, my legal heir(s) may require the submission of certain additional legal or court-issued documents which may delay the process of transmission of securities to my legal heir(s).

(iii) if no claim is made on the account / folio for a prolonged period after my demise, the holdings may be treated as unclaimed assets and they may be transferred to Investor Education and protection Fund Authority (IEPF) in accordance with the applicable regulatory framework.

I confirm that I have understood the above implications and that my decision to opt out of nomination is voluntary.

Name and Signature of Holder

1._____2._____3. _____

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

***

LIBORD BROKERAGE PVT. LTD.
104, M. K. Bhavan, 300, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001.

CDSL Your Depository

Additional KYC Form for Opening a Demat Account (For entities other than Individuals)

Application No.									Date								
DP Internal Reference No.																	
DP ID	1	2	0						Client ID	0	0	0					

(To be filled by the applicant in **BLOCK LETTERS** in English)
I / We request you to open a demat account in my / our name as per the following details: -

Holders Details

Sole / First Holder's Name											Search Name												
PAN																							
Second Holder's Name																							
PAN											UID												
Third Holder's Name																							
PAN											UID												

Name*	
* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.	

Type of Account **(Please tick whichever is applicable)**

Status	**Sub – Status**
❑ Body Corporate ❑ Banks ❑ Trust ❑ Mutual Fund ❑ OCB ❑ FII ❑ CM ❑ FI ❑ Clearing House ❑ Other (Specify)	**To be filled by the DP**

Date of Incorporation																	
SEBI Registration No. (If Applicable)										SEBI Registration Date									
RBI Registration No. (If Applicable)										RBI Approval Date									
Nationality	❑ Indian ❑ Others (specify)_____																		

I / We instruct the DP to receive each and every credit in my / our account [Automatic Credit] (If not marked, the default option would be 'Yes')	❑ Yes ❑ No
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	❑ Yes ❑ No

Account Statement Requirement	❑ As per SEBI Regulation ❑ Daily ❑ Weekly ❑ Fortnightly ❑ Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID_____		❑ Yes ❑ No

I/ We would like to share the email ID with the RTA	❑ Yes ❑ No
I / We would like to receive the Annual Report ❑ Physical / ❑ Electronic / ❑ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Electronic)	

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member Id		Trading member ID	

I / We wish to receive dividend / interest directly in to my bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	❑ Yes ❑ No

Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)									
IFS Code (11 character)									
Account number									
Account type	❑ Saving	❑ Current	❑ Cash Credit	❑ Others (specify)					
Bank Name									
Branch Name									
Bank Branch Address									
City	State		Country		PIN				

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it shall be self-certified by the BO.

MICR code starting with 000 will not be eligible for ECS.

OTHER DETAILS

Gross Annual Income details (please specify): Income Range per annum

❑ Upto Rs. 1,00,000/- ❑ Rs. 1,00,001/- to Rs. 5,00,000/- ❑ Rs. 5,00,001/- to Rs. 10,00,000/-
❑ Rs. 10,00,001/- to Rs. 25,00,000/- ❑ Rs. 25,00,001/- to Rs. 100,00,000/- ❑ More Than Rs. 100,00,000/-
Net worth as on Date : _____ Rs. _____ (Net worth should not be older than 1 year)

Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) or Related to Politically Exposed Person (RPEP) ❑ Please provide details as per Annexure 2.2 A.

Any other information

SMS Alert Facility Refer to Terms & Conditions given as **Annexure-2.4**	❑ Yes MOBILE NO. +91_____ [(Mandatory , if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).	❑ No

Transactions Using Secured Texting Facility (TRUST).
Refer to Terms and Conditions Annexure – 2.6

I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility.
I/We have read and understood the Terms and Conditions prescribed by CDSL for the same.

☐ Yes

☐ No

I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST

Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)

easi	❑ Yes. To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	❑ No

I/we have received and read the 'Right and obligations' document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/we declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/we further agree that any false/ misleading information given by me/ us or suppression of any material information will render my account liable for termination and suitable action.

	First/Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Name			
Designation			
Signature	☞	☞	☞

(Signatures should be preferably in black ink). **(In case of more authorised signatories, please add annexure)**

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

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications / Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 2018 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

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

Manner of Closure of Demat account

18. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.

Sole/First Holder	Second Holder	Third Holder

19. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of **2** days as per procedure specified from time to time by the depository **in case of no outstanding dues and in case of outstanding dues, shall provide 30 days' notice. In case of non-payment of dues, DP shall reject the account closure request and in case the dues are cleared by BO, respective account shall be closed by DP within 2 working days of clearing the dues**. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the **(BO)** or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

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

Liability of the Depository

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

Freezing/ Defreezing of accounts

23. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
24. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.
25. The Joint holders are aware that in case of any Statutory Order for freezing any one joint holder, the demat account will be frozen and the other joint holders will have to obtain a specific Order for unfreezing their percentage of joint ownership by submitting the relevant documentary proof to the Order issuing authority.

Redressal of Investor grievance

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

Authorized representative

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

Law and Jurisdiction

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

Sole/First Holder	Second Holder	Third Holder

ANNEXURE – 2.4

CDSL Your Depository

Terms and Conditions -cum - Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions, the terms shall have the following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17 th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customised SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service "means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his /her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration/ change, the depository shall make every effort to update the change mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'OFF' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non - delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and /or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and /or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account / unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to /transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communications between the services provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The Depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

☞	☞	☞
Sole / First Holder	Second holder	Third Holder

Fees:
Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
Disclaimer:
The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on mobile phone number of the BO or for fraudulent, duplicate or erroneous use/misuse of such information by any third person.
Liability and Indemnity:
The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified, the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
Amendments:
The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.
Governing Law and Jurisdiction:
Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.
I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/ transactions in my/our account as is necessary for the purposes of generating SMS Alerts by the 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 will be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs will be required to take up the matter with their DP.
I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.
I/We provide the following information for the purpose of **REGISTRATION/ MODIFICATION** (Please cancel out what is not applicable).

BOID | 1 | 2 | 0 | | | | | | | 0 | 0 | 0 | | | | | |

(Please write your 8 digit DPID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent | +91 | | | | | | | | | | |

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____

(Please write only ONE valid email ID on which communication; if any, is to be sent)

Signatures ☞ Sole / First Holder ☞ Second holder ☞ Third Holder

Place: _____ Date: _____

ANNEXURE – 2.6

CDSL Your Depository

Terms and Conditions for availing Transaction Using Secured Testing (TRUST) Services offered by CDSL

1. **Definitions:**
   In the Terms and Conditions, the term shall have the following meaning unless indicated otherwise:
   i. "Depository" means Central Depository Services (India) Limited (CDSL)
   ii. TRUST means "Transaction Using Secured Texting" service offered by the Depository.
   iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
   iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that will normally qualify for this type of service will be informed by CDSL from time to time.
   v. "Third Party" means the operators with whom the Service Provider is having/ will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time.
   Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
3. The messages will be sent on best efforts basis by way of an SMS on the mobile number which has been provided by the BOs. However, Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of message sent on such mobile number.
5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by BO. The DP/CDSL will not be held liable for acting on SMS so received.
6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transactions for deregistration. Further, CDSL shall not be responsible for Bos not submitting the response to the said SMS within the time limit prescribed by CDSL.
7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
10. The BO acknowledges that CDSL will send messages for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
11. The BO further acknowledges that the BO/CM shall not have right to any claim against either the DP or Depository for losses, if any, incurred due to non-receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO request for deregistration from TRSUT at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Provider or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity:
    In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer:
    Depository shall be absolved of any liability in case: -
    a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
    b. There is lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the services provided by any such service provider.
    c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

OPTION FORM FOR ISSUE OF DIS BOOKLET **VOLUNTARY**

Date: _____

DP ID	1	2	0						Client ID	0	0	0					
Sole/First Holder																	
Second Holder																	
Third Holder																	

To,
LIBORD BROKERAGE PVT. LTD.
104, M. K. Bhavan, 300, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001.

Dear Sir / Madam,
I / We hereby state that: [Select one of the options given below]

☐ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with Libord Brokerage Pvt. Ltd. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	☞	☞	☞

OR

☐ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with Libord Brokerage Pvt. Ltd. (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature	☞	☞	☞

Mandatory

SCHEDULE OF DP CHARGES					
Srl No	Services	Regular Demat A/c		Basic Service Demat Account (BSDA)	
		Fees	Minimum	Fees	Minimum
01	Account Opening	Free			
02	AMC (Individual)	No AMC for First Year	-	Holding Value between 0 to 4,00,000 - Nil AMC Holding Value between 4,00,001 to 10 Lacs - Rs. 100/- p.a. Holding Value more than 10 Lacs - Rs. 300/-	
		Rs. 300/- per annum From Second Year	-		
03	Life-time (Individual)	Rs. 2,000/-	-		
04	AMC (Non-Individual)	Rs. 1,000/- per annum	-		
05	On Request Statement at HO	Rs. 50/-	-	Rs. 50/-	-
06	On Request Statement by Post	Rs. 100/-	-	Rs. 100/-	-
		Transaction Charges			
07	Dematerialisation	Rs. 10/- per certificate + Rs. 50/- per scrip Courier charges	Rs. 10/- per certificate + Rs. 50/- per scrip Courier charges	Rs. 10/- per certificate + Rs. 50/- per scrip Courier charges	
08	Rematerialisation	Rs. 50/- per certificate +Rs. 50/- per scrip Courier charges	Rs. 50/- per certificate +Rs. 50/- per scrip Courier charges	Rs. 50/- per certificate +Rs. 50/- per scrip Courier charges	
09	For Market Trade (Sell)	**Rs. 15/- per Transaction**	**Rs. 15/- per Transaction**	**Rs. 15/- per Transaction**	
10	Other Than MKT Transaction & Inter Depository Transaction	**Rs. 25/- per Transaction**	**Rs. 25/- per Transaction**	**Rs. 25/- per Transaction**	
11	DIS Booklet	Rs. 50/-	-	Rs. 50/-	
12	Pledge Creation / Closure / Invocation	Rs. 20/- per Transaction for Individual and Rs. 40/- per Transaction for Non Individual	Rs. 20/- for Individual, Rs. 40/- for Non Individual	Rs. 20/- per Transaction for Individual and Rs. 40/- per Transaction for Non Individual	

Notes:

1. Account Maintenance charges are Payable in advance.
2. GST and other Statutory Levis will be charged as applicable.
3. Rs. 510/- towards POA Franking Charges or actuals.
4. All the transaction charges calculated will be based on the Price File provided by Depository.
5. DP charges will be debited from Trading Account for Clients having Trading Account with LBPL.
6. For Clients who do not have Trading Account with LBPL requires to pay Rs. 1,000/- in advance, which will be used for Demat Service Charges.
7. Any debit balance for more than one month from the date of Bill will attract interest of 13% p.a.
8. As per SEBI Guidelines, all Market Instructions for Transfer must be received latest by 4.00 p.m. on the same working day of Pay-In day.
9. All Off Market Instructions for transfer must be received at least one day before the execution date.
10. Late instructions will be accepted at the account holder's sole risk and responsibility and will invite additional charges.
11. Bill for Demat services will be raised monthly.
12. Charges quoted above are for the services listed. Any service not listed above will be charged separately.
13. All the above charges are subject to revison at LBPL's sole discretion by giving 30 days notice.

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signature			

CUSTOMER PROFILE

VOLUNTARY

Expected Investment / Trading Turnover on a Monthly Basis

❑ Upto 10 Lakh	❑ 10 Lakh	❑ More than 50 Lakh

Average Size of Transaction

❑ Upto 50 Thousand	❑ Rs. 50 Thousand to 5 Lakh	❑ More Than 5 Lakh

Expected no. of Transaction on a monthly basis

❑ Upto 50	❑ Rs. 51 to 500	❑ More Than 500

Average Annual Income to be updated every year on the basis of information or documents to be obtain from clients	
Financial Year	Annual Income
2014-15	
2015-16	
2016-17	
2017-18	
2018-19	

Additional Information

1. Purpose of Opening the Account
   ❑ Investment ❑ Trading ❑ Arbitrage
2. Source of Funds for Trading / Investment
   ❑ Salary ❑ Business ❑ Inherited / Gift ❑ Saving
   ❑ Professional Fees ❑ Others (Pls. Specify) _____

Signature of Client : ☞ _____

Place : _____

Date : _____

To,
LIBORD BROKERAGE PVT. LTD.
104, M. K. Bhavan,
300, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001.

VOLUNTARY

Date: _____

Declaration by the Client for understanding the terms and conditions and other information filled up in the trading account opening form

I/We the sole holder/Guardians (in case of minor) hereby declares that I/we have been explained and understand the contents and information duly filled-up in the Account Opening Form and also have been explained and understood the various term(s) and condition(s) as laid down by BSE/Exchange/Broker/Sub-Broker/Authorised Person.

This declaration is given to the fact that I/we have signed the Account Opening Form other than in English language.

Client Name	
Client Code	

Client Signature ☞ _____

Place: _____

RUNNING ACCOUNT AUTHORISATION FOR ALL EXCHANGES

VOLUNTARY

(Please be informed and note that these additional clause(s)/ document(s) are voluntary. Executing or issuing them is at your discretion. Simultaneously sight should not be lost of the fact that they are essential to ensure smooth functioning our 'Member-Client' relationship. The client need not execute this documents if he/ she does not wish to. The client has the right to terminate the document)

To,

LIBORD BROKERAGE PVT. LTD.

104, M. K. Bhavan, 300, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001.

Dear Sirs,

I/ We am/are regularly with you for Cash/F&O/Currency Segment in BSE/NSE/MCX/NCDEX. I/We am/are aware that as per the SEBI/Exchange requirements, the settlement of fund is to be done within 24 hours of receiving the relevant pay out from the Exchange. However, in light of my regular trading and non-availability in town or other reasons, I/we request you to do as mentioned below:

- ❑ I/We hereby give my/our consent to maintain my/our account for fund and securities/commodities as a running account. Consequently, you may retain my/our securities/commodities and funds/monies due to me/us after Exchange payout or release of margin with yourselves until sought by me /us.
- ❑ I/We further authorize you to debit the funds from my/ our running accounts and make pay-in of securities/ commodities/ funds to exchange/clearing corporations/SEBI to settle my/our dealings/trades. Subject to your discretion and valuation, please treat my/ our collaterals and funds lying to my/ our credit in running accounts as margin/ collateral for my / our dealings/ trading.
- ❑ I/we further authorize you to debit/ credit/ transfer the funds between the various stock Exchanges/commodity Exchanges to clear/ set off/ adjust my/ our debit balance or various dues payable to you/ Exchange(s).
- ❑ I/we acknowledge that I/we can revoke the above mentioned running account authority at any time by giving written notice.
- ❑ I/We request you to settle my funds account once in the period as allowed by SEBI/Exchange(s) from time to time except the collaterals given by me/ us towards margins. I/we agree that LBPL may retain an amount as prescribe by the exchanges or SEBI for effecting settlement of funds in my/ our account. This amount should be released based on my/our specific request only.
- ❑ In case I/we have an open position on the settlement date, I/We request you to keep my/our securities/ commodities, margin and funds with you to meet my/our pay in obligation in the succeeding settlements in the same segment as well as other segments of various Exchanges.
- ❑ The actual settlement of funds and Securities shall be done by you every
  - ❑ Monthly ❑ Quarterly

  I/we confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities/commodities or statement of account or statement related to it, as the case may be, in writing at your registered office.
- ❑ In case of outstanding obligation on settlement date you may retain an amount of up to Rs. 10,000/- (net amount across segment and across exchanges)
- ❑ You shall transfer the funds lying in our credit within one working day of my/ our request if the same are lying with you and within three working days from the request if the same are lying with the clearing member/ clearing corporations/Exchange.
- ❑ I/We have noted the following:
  1. This running account authorization will continue until it is revoked by me.
  2. The authorization shall be signed by me/us only and not by any power of attorney holder or by any authorized person.
  3. I/We may revoke the authorization at any time by giving written notice.

Yours faithfully,
Signature of Client ☞ _____

Name of the Client _____

Client Code: _____

ECN AUTHORISATION

VOLUNTARY

From: _____

_____

_____

To,

LIBORD BROKERAGE PVT. LTD.

Dear Sirs,

Sub: Mandate to issue contract notes in digital format & other communications (such as Daily Margin Statement, Statement of Funds & Securities, Account Confirmations, bills, Notices etc.) through an E-Mail

I / We hereby agree and consent to accept the contract notes for transactions carried on by me/us on Exchange(s) with you, as the case may be, in terms of mandatory and voluntary client registration documents entered into between me/us, in digital form. Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to terms and conditions mentioned herein below:

1. Digital Contract Notes in the format as may be prescribed by the Exchange(s) from time to time will be mailed to me/ us on the E-mail address provided to you. You can also send me/us my/our margin statement in digital form with contract notes.
2. I/ we undertake to check the contract notes and bring the discrepancies to your notice of such issuance of contract notes. My/our non-verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract notes at any time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent on E-mail: customergrievances@libord.com
5. Clients can view the digital contract notes using the username & password through the web-site apart from the contract notes sent to the client through mail.
6. The Digital contract notes will be archived at an interval of 3 months. If the client intends to view the digital contract notes for a period to 3 months client may request for the same in writing.
7. The contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchange from time to time.
8. It will be client's responsibility to regularly check the mailbox and keeping the storage space for new email messages.
9. Any changes in the terms and conditions shall be intimated from time to time as per applicable laws, rules and regulations of Exchange/SEBI.
10. Non-receipt of bounced mail notification by the trading member shall amount to delivery of contract notes at the e-mail ID of the client.
11. Digital contract notes will also be available at our Web-site www.libordbroking.com
12. Any change in the E-mail ID shall be communicated by us/me through a physical letter.

Other Communications (such as Daily Margin Statement, Statement of Funds & Securities/Commodities, Account Confirmations, bills, Notices etc.)

You can send me various documents like daily margin statement, statement of funds & securities/ commodities, contract notes, account confirmations, bills, notices etc. through an E-mail ID mentioned in this letter.

This instruction to issue digital contract notes & other communications are applicable with immediate effect. This instruction is several to all parties mentioned above.

My/Our E-mail ID _____

My/Our Alternative E-mail ID _____

Yours faithfully,

☞

(Client Signature)

Client Code (customer ID): .....

Place: ..... Date: .....

LETTER OF AUTHORITY

VOLUNTARY

Date: _____

To,

LIBORD BROKERAGE PVT. LTD.

104, M. K. Bhavan, 300, Shahid Bhagat Singh Road,

Fort, Mumbai - 400 001.

Dear Sir,

Sub: Letter of Authority - Cash / F&O/Currency Derivatives Segments.

I / We are dealing in Securities and/or Commodities with you in Cash / F&O/ Currency Derivatives Segment(s) and in order to facilitate ease of operations, I/ We authorise you as under:

1. I / We authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transactions in any segment of the Exchange or in any other exchanges and/or against the value of cash margin provided to you by me/us.
2. I / We hereby authorise you not to provide me order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We shall get the required details from contract notes issued by you.
3. I / We hereby authorise you to keep all the securities/commodities which we give you in margin including the pay out of Securities/Commodities received by us for meeting margin/ other obligation in Stock Exchange / Commodity Exchange in whatever manner of meeting / pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange / Commodity Exchange or otherwise.
4. I / We request you to retain credit balance in any of my / our account and to use the idle funds towards our margin / future obligations at any of the Exchanges unless I / We instruct you otherwise. I / We also authorize you to debit the necessary Demat charges from time to time, for keeping the Shares / Commodities in your client Demat beneficiary account on my / our behalf.
5. I / We request you to retain Securities / Commodities in your Demat account for my / our margin / future obligations at all Exchanges, unless I / We instruct you to transfer the same to my / our account.
6. I / We request that you to consider my / our telephonic instructions for order placing / order modification / order cancellation as a written instruction and give me / us all the confirmation on telephone unless instructed otherwise in writing. I / We will be getting required details from contracts issued by you.
7. I / We request that you may send / despatch me / us contract notes and other documents through E-mail on my / our designated e-mail address at _____
   I / We will completely rely on the log reports of your despatching software as a proof of dispatch of e-mail to me / us.
8. I / We will inform you the change(s) in my e-mail address, if any, in future either by Registered Post or through a digitally signed e-mail.
9. Trading on all Exchanges in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that 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 your control and may result in delay in processing or not processing buy or sell orders either in part or in full.
10. I / We confirm that I / We will never sublet that trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
11. I / We am / are agreeable for inter settlement transfer of securities / commodities towards settlement.
12. I / We am / are agreeable for and authorise you to withhold funds pay-out towards all the applicable margins and debits.
13. All fines / penalties and charges levied upon you due to my acts / deeds or transitions may be recovered by you from my account.

Thanking you,

Yours faithfully,

☞

(Client Signature)

Name of Client: ..... Client Code: .....

CLIENT DEFAULTER DECLARATION

VOLUNTARY

Date :_____

LIBORD BROKERAGE PVT. LTD.
104, M. K. Bhavan, 300,
Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001.

Dear Sir,

I, _____ having PAN _____ do herby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/ Various Exchanges/ Regulatory bodies/CIBIL (Credit Information Bureau of India Ltd.) etc.I further declare that the above mentioned declaration/statement is true and correct.

Thanking you,
Yours faithfully,

Signature of the Client: _____

Name of the Client: _____

Client Code : _____

DECLARATION FOR NRI / FN

VOLUNTARY

Name:_____

Address:_____

_____

TO WHOMSOEVER IT MAY CONCERN

I/We agree to abide by all necessary rules and regulations introduced or amended from time to time by all statutory Government bodies in India, and guidelines as prescribed by the Reserve Bank of India under the Foreign Exchange Management Act, 1999 (FEMA).

Further, in the process of opening my / our accounts with the Indian Bank/s, Members of Indian Stock Exchange(s) and Commodity Exchange(s), and Depository Participants, I / We have complied with the current laws and will continue to do so as required for the proper maintenance of the aforesaid accounts.

In case there is any change in my / our status from Resident to Non-Resident or vice-versa, I / We shall inform all concerned agencies of the same and will abide by the procedures and requirement for the transaction.

Signature: _____

Name:_____

AUTHORITY TO DEBIT THE DEMAT ACCOUNT OPERATING CHARGES

VOLUNTARY

Date :_____

To,

Libord Brokerage Private Limited

104, M. K. Bhavan, 300, Shahid Bhagat Singh Road,

Fort, Mumbai - 400 001.

Dear Sir,

Sub: Authority to debit the Account Operating Charges

This has reference to my Trading & Beneficiary accounts opened with **LIBORD BROKERAGE PVT. LTD.**, the particulars of which are as under:

a. Beneficiary Client id : _____

b. Trading Account Code : _____.

With regard to these accounts, and for the sake of my operating convenience, I request and authorise you to debit the bills raised by you, pertaining to the depository services, provided to me, to debit the trading account maintained with you. Any such sum debit to my / our account shall be binding on me / us.

Kindly do the needful as requested.

Yours Faithfully,

Signature of the Client ☞

Name of the Client: _____ Client Code: _____

SMS AND E-MAIL ALERTS TO INVESTORS BY STOCK/COMMODITY EXCHANGES

VOLUNTARY

(Ref: SEBI circular No. CIR/MIRSD/15/2011dated August 02, 2011)

I request you to enroll me for the following facility offered by the Stock/Commodity Exchanges pursuant to above referred SEBI circular

❑ SMS Facility on Mobile No provided in my KYC

1. Mobile No Belongs to ❑ Self ❑ Family Member
2. In case of family member please specify the relationship:
   ❑ Dependent Child ❑ Dependent Parent ❑ Spouse
3. PAN of the family Member whose Mobile No is provided above:

❑ Email Facility on email Id provided in my KYC

1. Email ID Belongs to ❑ Self ❑ Family Member
2. In case of family member please specify the relationship:
   ❑ Dependent Child ❑ Dependent Parent ❑ Spouse
3. PAN of the family Member whose Email ID is provided above:

Note:

1. Individual Client is invariably required to provide his own Mobile No. except in case of family members where the following relationship exist Dependent Child OR Dependent Parent OR Spouse
2. Non Individual client shall provide the Mobile/ Email details of the person authorized to receive such communication and as provided in the KYC.
3. Client may please note that Mobile No. of Trading Member (TM)/ employees of TM/ Sub broker/authorised person are not permitted for receiving the SMS/ Email communication from exchanges
4. Client may note that the circular is available for download on the exchange's website.

Signature of Client : ☞ _____

Place : _____ Date: _____

BOARD RESOLUTION ON LETTERHEAD OF COMPANY **FORMAT**

Certified True Copy of the Board Resolution passed at the Meeting (____ of the Financial Year 20_____) of the Board Of Directors of _____ (Company Name) on _____ (Date of Board Meeting) at _____ (time) at _____(Office Address).

"RESOLVED THAT the consent of the Board of Directors be and is hereby accorded to open Trading Account with **Libord Brokerage Private Limited** a Member of the BSE Ltd (BSE)/National Stock Exchange of India Ltd.(NSE) / Multi Commodity Exchange of India Ltd (MCX) / National Commodity & Derivatives Exchange Ltd.(NCDEX) in Cash, Equity Derivatives, Currency Derivatives, New Debt Segment and Commodity Derivatives Segments, for the purpose of dealing in equities, equity derivatives, currency derivatives, debts and commodities derivatives and other products.

RESOLVED FURTHER THAT any one of the following Directors / Executives / Officers of the Company, whose specimen signatures are appended hereunder.

No.	Name of Authorised person	Designation	Specimen Signature

Be and are hereby authorized severally to

1. Sign, execute and deliver orders, Instructions letters, notes, contracts, share transfer forms, Warehouse Receipts and such other documents as may be considered necessary from time to time for the aforesaid purpose, and
2. Take all such actions and do all such things, as may be deemed prudent, necessary and expedient for giving effect to the above resolution from time to time.

RESOLVED FURTHER THAT the above resolution shall remain effective and in force till such time as a fresh resolution canceling or amending the same is passed by the Board of Directors of the company be furnished to **Libord Brokerage Private Limited.**

RESOLVED FURTHER THAT a copy of the above resolution duly certified as true by any one of the Directors of the company be furnished to **Libord Brokerage Private Limited** and such other parties as may be required from time to time."

CERTIFIED TRUE COPY

For _____ (Company Name)

Signature _____

Name of the Director

DIN: _____

Dear Customer,

Subject : Prevention of Money Laundering Act (PMLA)

Subject to the requirements under the Prevention of Money Laundering Act, 2002 (PMLA), guidelines issued by RBI and SEBI from time to time, the prospective clients (those persons who want to become clients of **Libord Brokerage Private Limited**) are requested to note the following Anti Money Laundering (AML) procedures:

1. No account can be opened in fictitious / benami name or on an anonymous basis.
2. No account will be opened where prospective client is unable to prove / submit 1) Identity Proof 2) Address Proof 3) PAN Card and other information / documents demanded by Libord Brokerage Private Limited which are essential for account activation as per SEBI guidelines.
3. Complete and correct contact details like Telephone No., mobile / cell no., Email address should be provided for easy and prompt communication.
4. Please indicate your occupation and the Income Range to which you belong at the appropriate place in the KYC Kit (application form) This is very essential Applications without these details are liable to be rejected.
5. No cash will be accepted by Libord Brokerage Private Limited under any circumstances. You will make all payments to us by means of a Cheque / DD payable at our branch and similarly all payments due to you are paid by means of a cheque / DD payable at the place registered with Libord Brokerage Private Limited
6. Libord Brokerage Private Limited, at its sole discretion, reserves the right to ask for additional information / documents relating to income such as Bank a/c statements, Income Tax returns and / or net worth statements as may be required under PMLA, 2002 from time to time and as a client you are required to supply such information / documents.
7. Libord Brokerage Private Limited reserves the right to verify the details provided in the KYC by the Client like Residential / Official address, Telephone No. by visiting / calling etc. (as done in credit card verification). Hence correct and complete details must be given.
8. Apart from the above, under PMLA, 2002, in order to discourage and identify any money laundering or terrorist financing activities, financial intermediaries like our Company may call for additional disclosures relating to your transactions.
9. Please produce all supporting documents in original together with a copy and originals, which will be returned to you after verification.
10. We hope you will have a happy and a profitable association with us.

Thanking you,
Yours faithfully,

Libord Brokerage Private Limited

Signature of the Client: ☞ _____

Name of the Client: _____

Client Code : _____

Place: _____

Date: _____

PREVENTION OF MONEY LAUNDERING POLICY

Because ignorance of law is not an excuse in the court of law

- Due to the tightened security and increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge our duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain in certain transitions, even if unknowing or ignorantly, may land us in trouble.
- There is an Act called **Prevention of Money Laundering Act 2002. (PMLA)**
- The purpose of this act is to prevent the financing of terrorism and to prevent laundering of money i.e. to legalize or officialise or canalize the money generated from illegal activities like drug trafficking, organized crimes, hawala rackets and other serious crimes.
- This act is a part of the Global measures being taken by all the countries under the initiatives of UN agencies.
- It is applicable to all SEBI Registered brokers/sub-brokers and other financial institution who are dealing in any kind of financial assets.
- It is an obligation of the entities to whom this Act is applicable, to report certain kind of transitions routed through them to FINANCIAL INTELIGENCE UNIT, a department specially set up to administer this Act under the Ministry of Finance.
- The transaction which are supposed to be reported are cash transitions above rupees ten lakh or series of cash transactions below ten lakhs but aggregating to above ten lakhs in a month or its equivalent if any foreign currency and the transactions which may not be in cash but suspicious in nature.
- Any such above types of transactions though not executed but attempted and failed are also required to be reported.
- The suspicious transaction can be related to the transaction under the circumstances such as;
  - Clients whose identity verification seems difficult or clients that appear not to cooperate;
  - Asset management services for clients where the source of the funds is not clear or not in keeping with clients apparent standing / business activity;
  - Clients based in high risk jurisdictions;
  - Substantial increases in business without apparent cause;
  - Clients transferring large sums of money to or from overseas locations with instructions for payment in cash;
  - Attempted transfer of investment proceeds to apparently unrelated third parties;
  - Business undertaken by offshore banks/financial services;
  - Business reported to be in the nature of export/import of small items;
  - Unusual transitions by Clients of Special Categories (CSCs).
- Clients of Special Categories may include;
  - NRI / HNI / Trust / Charities / NGO / Organizations receiving donations;
  - Companies having close family shareholdings or beneficial ownership;
  - Politically Exposed Persons;
  - Companies offering foreign exchange offerings;
  - Client in high risk countries;
  - Non face to face client;
  - Clients with dubious reputation as per public information available.
- No trading or demat account can be opened in the name of entity whose name is listed on the banned entity list being maintained at United Nation's website at http://www.un.org/sc/committees/1267/consolist.shtml
- While opening the new accounts all the prescribed procedures of KYC and Client identifications should strictly be followed in the context of ensuring the compliance under this act.
- All the records of transactions and client identifications must be preserved in a manner which can be promptly retrieved and reported to the authorities in the specified format.
- This is the highlights of the requirements under the Act. Sub brokers / Authorised Persons / Remissers advised to go through the SEBI master circular at http://www.sebi.gov.in/circulars/2010/mastercircular/MasterCircular.pdf for detailed information and understanding and also to visit the website of FIU-IND at http://fiuindia.gov.in
- The end clients are advised to co-operate with us by providing the additional information / documents, if asked for during the course of your dealing with us to ensure the compliance requirement under this Act.
- As a responsible citizen, it is our statutory as well as moral duty to be vigilant and to refrain from temptation of easy monetary gains, by knowingly or unknowingly supporting the people who are involved in the activities which are endangering our freedom and causing damage to the nation and to us as well.

Signature of Client : _____

Place : _____ Date : _____

Libord Brokerage Pvt. Ltd.

Supplementary KYC Information & FATCA-CRS Declaration - Individuals

(Please consult your professional tax advisor for further guidance on your tax residency FATCA/CRS Guidance)

PAN | **Client Code**

Name | **Gender** M F O

Type of address given at KYC KRA | Residential | Residential & Business | Business

Place of Birth

Country of Birth

Nationality

Gross Annual Income Details in INR

Below 1 Lakh	5-10 Lakh	25 Lakh - 1 Crore
1-5 Lakh	10-25 Lakh	> 1 Crore

Networth in INR in Lakhs

Rs.: _____

Net worth as on D D M M Y Y Y Y

Occupation Details

Business	Professional	Public Sector	Housewife	Retired
Private Sector	Government Service	Agriculturist	Student	Forex Dealer

Others (Please specify)

Politically Exposed Person (PEP) | Yes | Related to PEP | Not Applicable

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

If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country*	Tax identification Number#	Identification Type (TIN or Other, please specify)

*** To also include USA, where the individual is a citizen / green card holder of The USA**

 # In case Tax identification Number is not available, kindly provide its functional equivalent $

Certification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Signature

DATE D D M M Y Y Y Y

PLACE

For investor convenience, LBPL is collecting this mandatory information for updating across all account in Equity, Commodity etc...

Please submit the form duly filled, signed, for all the holders, seperately and submit it to our office at: **Libord Brokerage Private Limited**, 104, M. K. Bhavan, 300, Shahid Bhagat Singh Road, Fort, Mumbai - 400001.

FATCA & CRS Terms & Conditions

Details under FATCA & CRS. The Central Board of Direct Taxes has notified Rulers 114F to 114H, as part of the Income Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the propose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you. Please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Confirmation of Receipt of executed documents

Client Code: _____ **Date:** _____

To,

Libord Brokerage Private Limited
104, M. K. Bhavan,
300, Shahid Bhagat Singh Road,
Fort, Mumbai - 400 001.

Dear Sir,

- ❑ I/We hereby acknowledge the receipt of duly executed Know Your Client Form (KYC), Rights and Obligations, Risk Disclosure Documents (RDD), Polices and Procedures, Guidance Note - Do's and Don'ts, Tariff Sheet and all other mandatory and voluntary client registration documents as executed by me/us.
- ❑ I/We have received and read the copy of Rights and obligations document in case of DP.

Signature of Client: ☛ _____

========== (Please Tear here) ==========

ACKNOWLEDGEMENT RECEIPT

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0						Client ID	0	0	0					
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

For LIBORD BROKERAGE PVT. LTD.

(Authorised Signatory)

Annexure -7

Mandatory

LIBORD BROKERAGE PVT. LTD.

Regd. Office : 104 , M.K.Bhavan , 300 , Shahid Bhagat Singh Road , Fort , Mumbai - 400 001.
Tel : + 91-22-2265 8108 / 09 / 10 . FAX : +91-22-2266 2520
Corp Office : 524 , B Wing , Chintamani Plaza , Mohan Studio Compound ,Near WEH Metro Station , Andheri Kurla Road , Andheri (East) , Mumbai - 400 099 Tel : +91 - 22-62782900 / 961 Email Id :- info@libord.com Website : www.libord.com
Email Id For Customer Grievances : - customergrievances@libord.com
DP ID - 12086200 Sebi Reg. No : - IN-DP-379-2018 CIN : U67120MH2007PTC174576

Declaration for availing of Basic Services Demat Account (BSDA) facility

Date								

Please fill all the details in Block Letters in English

DP ID	1	2	0	8	6	2	0	0	Client ID									

Account Holder's Details	
Name of First / Sole Holder	
Name of Second Holder	
Name of Third Holder	

I / We agree to Apply for BSDA Facility & BSDA Charges as applicable & Received BSDA Tariff Sheet	**YES**		**NO**	

I / We wish to avail the BSDA facility for my / our above mentioned demat account number. I agree to pay the charges as per BSDA Facility.

I / We have read and understood the regulatory (SEBI) guidelines for opening a Basic Service Demat Account and undertake to comply with the aforesaid guidelines as notified from time to time. I / We also undertake comply with guidelines issued by any such authority for BSDA facility from time to time. I / We also agree that in case our demat account opened/shifted under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me / us and will be levied charges as applicable to regular accounts as informed the DP.

I / We also understand that by opting for BSDA account facility, I / We will be entitled to receive only the Basic Service offered by Libord Brokerage Private Limited.

I, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

Attach an Annexure (with signature(s)) if the space above is found insufficient.

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Depository Participant Seal and Signature

Annexure - 8

Mandatory

ADDITIONAL POLICIES AND PROCEDURES FOR CLIENT DEALING WITH LIBORD BROKERAGE PVT. LTD. (LBPL)

Holding of Unpaid Securities

● The securities received in pay-out against which payment has been made by clients, shall be transferred to the demat account of the respective clients within one working day of the pay-out.

● The securities that have not been paid for in full by the clients (unpaid securities) shall be transferred to such "client unpaid securities account" from the pool account.

● The securities kept in the 'client unpaid securities account' shall either be transferred to the demat account of the respective client upon fulfilment of client's funds obligation or shall be disposed off in the market by LBPL within five trading days after the pay-out. The unpaid securities can be sold from the Unique Client Code (UCC) of the respective client. Profit/loss on the sale transaction of the unpaid securities, if any, shall be transferred to/adjusted from the respective client account.

● LBPL retains the discretion to transfer the stock from Unpaid Securities A/c to Client's A/c even if client has not paid for the same.

Client's Signature _____

Place _____

Date _____

Annexure - 9

Voluntary

NAME MISMATCH FORM

Date : _____

To,
Libord Brokerage Private Limited
524 , B Wing , Chintamani Plaza ,
Near WEH Metro Station ,
Andheri Kurla Road , Andheri (East) ,
Mumbai - 400 099

Subject: Declaration of name which appears different at PAN, Bank A/c and Address proof

Dear Sir/Madam,

This is to Certify that the name on the PAN card is _____ on my PAN No: _____.

And in the Bank A/c my Name is _____

And as per address proof my name is _____

Hence please open my Trading A/c and DP A/c as per the name appearing on my PAN Card and also request you to kindly issue the cheque as per my bank account.

Thanking you,

Yours truly,

Signature: _____

Name of The Account Holder: _____

Mandatory

Libord Brokerage Private Limited

Regd. Office : 104 , M.K.Bhavan , 300 , Shahid Bhagat Singh Road , Fort ,Mumbai - 400 001.
Tel : + 91-22-2265 8108 / 09 / 10 Corp Office : 524 , B Wing , Chintamani Plaza ,
Mohan Studio Compound ,Near WEH Metro Station , Andheri Kurla Road , Andheri (East),Mumbai -400 099
Tel : +91 -22-62782900 / 961 Email Id :- info@libord.com Website : www.libordbroking.com
Email Id For Customer Grievances: - customergrievances@libord.com DP ID - 12086200
Sebi Reg. No : - INZ000006536 CIN : U67120MH2007PTC174576

DECLARATION

To,
Libord Brokerage Private Limited

Dear Sir,

Subject: Mandate to issue contract notes in digital format & other communication (such as daily margin statement, Statement of funds & securities, Account confirmation, Bills, Net Position through Email.

I / We hereby agree and consent to accept the contract notes for transactions carried on by me/us on Exchanges with you, as the case may be, in terms of mandatory and voluntary client registration documents entered into between me/us, in digital form, Digital contracts issued by you as per the terms and conditions specified herein shall be binding on me/us. The mandate is subject to term and conditions mentioned herein below.

1. Digital Contract Notes in the format as may be prescribed by the Exchanges from time to time will be mailed to me/us on the email address provided to you. You can also send me/us my/our margin statement and other required Documents in digital form with contract notes.
2. I/we require physical copy through courier or by post or hand delivery of Contract Note, Margin Statement, Bills, Financial Ledger, Net Position and other documents, for daily basis then I/we will pay charges for it as per your terms condition and there is no objection for the same.
3. I/we undertake to check the Contract Notes and bring the discrepancies to your notice of such issuance of contract notes.
4. My/our non-verification or not accessing the contract notes on regular basis shall not be reason for disputing the contract notes at any time.

For Client Code :_____

For Client Name: _____

Client Signature ----------

Annexure - 11.(a) **Mandatory**

Client Categorization

Please select [ ] on the below appropriate category depending upon their proposed nature of your activity against each product type.

Commercial [ ]	**Non Commercial [ ]**
Product Type	**Product Type**
Bullion **[ ]**	Bullion **[ ]**
Base Metals **[ ]**	Base Metals [ ]
Energy **[ ]**	Energy **[ ]**
Agri-Commodity **[ ]**	Agri-Commodity **[ ]**

1] COMMERCIAL : - Commercial clients includes value chain / Physical market participant exporter/ Importer/having direct/indirect/exposure to the underlying Commodity

2] NON-COMMERCIAL :- Non Commercial Clients Includes Trader/Arbitrager

Name Of The Client _____

Signature of the Client_____

Annexure - 11.(b)

Mandatory

Date:_____

To,
LIBORD BROKERAGE PVT LTD.
B / 524-526 , CHINTAMANI PLAZA ,
ANDHERI KURLA ROAD,
ANDHERI EAST - MUMBAI - 400 059

Sub: Disclosure of Commodity wise Client Categorisation

Dear Team,

I / We wish to activate commodity segment with **LIBORD** OR I / we are already existing commodity client of **LIBORD**.

I / we hereby submit / update my / our commodity-wise categorisation depending on my / our nature of activity, as per regulatory requirement as mentioned below:

I / We further confirm that in case of any change in this categorisation, I / we shall update the same with **LIBORD** and I / We understand that you may be required to disclose the same to Exchanges.

	CATEGORISATION				
Contract / Commodity	Farmer / Farmer Producer Organiation (FPO)	Value chain participants (VCPs) / Hedger	Others	Domestic financial institutional investors	Foreign participants
ALUMINIUM	☒				
BARLEY					
BRASS	☒				
CARDAMOM					
CASTOR SEED					
CHANA					
COPPER	☒				
CORIANDER					
COTTON					
COTTONSEEDOILCAKEAKOLA					
CPO - CRUDE_PALM_OIL					
CRUDE OIL	☒				
GOLD	☒				
GUAR_SEED10					
GUARGUM_5MT					
JEERA					
KAPASNEW	☒				
LEAD					
MAIZEKHARIF					
MAIZERABI					
MENTHA OIL					
NATURAL GAS	☒				
NCDEX FUTURE INDEX	☒				
NICKEL	☒				
PEPPER					
RAPE_MUSTARD_SEEDS					
RBDPMOLEIN					
SILVER	☒				
SOY_OIL					
SOYABEAN					
SUGARM					
TURMERIC					
WHEATKOTA					
ZINC	☒				

Category Explanation:

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

Yours faithfully,

Name of the Client:	
Signature of the Client:	

Declaration Form of Ultimate Beneficial Ownership [UBO] / Controlling Persons
(Mandatory for Non-individual Investors)

I. Investor Details:

Name of the Client	

II. Category:

☐ Our company is a Listed Company listed / Subsidiary or Controlled by a Listed Company
[If this category is selected, no need to provide UBO details]

☐ Unlisted Company ☐ Partnership Firm / LLP ☐ Unincorporated Association / Body of Individuals

☐ Public Charitable Trust ☐ Private Trust ☐ Religious Trust

☐ Trust created by a Will ☐ HUF ☐ Others [please specify]_____

UBO / Controlling Person(s) details

Sl. No.	Name of UBO	Country of Tax Residency	Taxpayer Identification Number / PAN / Equivalent ID Number	% of beneficial interest	Address, Address Type & Contact details (include city, Pincode, State, Country)	Gender (Male, Female)	PEP	Nationality	Occupation [Service, Business, Others]

Note: If the given rows are not sufficient, required information in the given format can be enclosed as additional sheet(s) duly signed by Authorized Signatory.

Declaration

We acknowledge and confirm that the information provided above is true and correct to the best of our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, we are aware that we may liable for it. We hereby authorize Libord Brokerage Pvt. Ltd.[LBPL] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by us, including all changes, updates to such information as and when provided by us to any of the relevant Authorities or any Indian or foreign governmental or statutory or judicial authorities / agencies without any obligation of advising us of the same. Further, we authorize to share the given information to other SEBI Registered Intermediaries and/or any other regulated intermediaries registered with SEBI / RBI / IRDA to facilitate single submission / update & for other relevant purposes. We also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end.

Date: _____

Place: _____ Signature

INSTRUCTIONS ON CONTROLLING PERSONS / ULTIMATE BENEFICIAL OWNER

As per SEBI circular No. CIR/MIRSD/2/2013 dated January 24, 2013, non-individuals and trusts are required to provide details of controlling persons [CP] / ultimate beneficiary owner [UBO] and submit appropriate proof of identity of such CPs/ UBOs. The beneficial owner has been defined in the circular as the natural person or persons, who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement.

A. For Investors other than individuals or trusts:

(i) The identity 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. Controlling ownership interest means ownership of/entitlement to:

- more than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- more than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
- more than 15% of the property or capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

(ii) In cases where there exists doubt under clause (i) above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership interests, the identity of the natural person exercising control over the juridical person through other means like through voting rights, agreement, arrangements or in any other manner.

(iii) Where no natural person is identified under clauses (i) or (ii) above, the identity of the relevant natural person who holds the position of senior managing official.

B. For Investors which is a trust:

The identity of the settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.

C. Exemption in case of listed companies / foreign investors

The client or the owner of the controlling interest is a company listed on a stock exchange, or is a majority-owned subsidiary of such a company, it is not necessary to identify and verify the identity of any shareholder or beneficial owner of such companies. Intermediaries dealing with foreign investors' viz., Foreign Institutional Investors, Sub Accounts and Qualified Foreign Investors, may be guided by the clarifications issued vide SEBI circular CIR/MIRSD/11/2012 dated September 5, 2012, for the purpose of identification of beneficial ownership of the client.

Mandatory

Libord Brokerage Pvt. Ltd.

FATCA, CRS AND ADDITIONAL KYC
Details and Declaration form
Mandatory for Non-Individual Investors, including HUF

Please refer Page 2 for Definitions / Instructions / Guidance

INVESTOR DETAILS

Entity Name:

PAN | **Application No.**

Folio Nos

Type of Address given at KRA ☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office

ADDITIONAL KYC DETAILS (Mandatory)

Gross Annual Income (Please tick ✓) ○ Below 1 Lac ○ 1-5 Lacs ○ 5-10 Lacs ○ 10-25 Lacs ○ >25 Lacs-1 crore ○ >1 crore

Net-worth in ₹_____ as on D D / M M / Y Y Y Y *(Not older than 1 year)*

INCORPORATION and TAX RESIDENCY DETAILS (Mandatory)

City of Incorporation:	Country of Incorporation:	Date of Incorporation:

Is Entity a tax resident of any country other than India? ☐ Yes ☐ No *(If yes, please provide country / ies in which the entity is a resident for tax purposes and the associated Tax ID number below)*

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

	Country of Tax Residency	TIN or equivalent number	Identification Type/Reason*
1.			
2.			
3.			
4.			

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person (as per definition E5), please mention the exemption code in the box: ☐ (refer definition D4)

FATCA and CRS DETAILS (Mandatory)

(Please consult your professional tax advisor for further guidance on FATCA & CRS classification)

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

We are a, *(please tick as appropriate)*

☐ Financial Institution *(Refer definition A)*

or

☐ Direct reporting NFE *(Refer definition B)*

G I I N ☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐

Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below

Name of sponsoring entity:

G I I N - Not Available ☐ **Applied for**

If the entity is a financial institution, ☐ Not required to apply for - please specify 2 digits sub-category ☐☐ (refer definition C)

☐ Not obtained – Non-participating FI

PART II (please fill Any One as appropriate, to be filled by NFEs other than Direct Reporting NFEs)

Is the Entity a publicly traded company? *(that is, a company whose shares are regularly traded on an established securities market)* *(Refer definition D1)*

Yes ☐ *(If yes, please specify any one stock exchange on which the stock is regularly traded)*

Name of stock exchange_____

Is the Entity a related entity of a publicly traded company? *(a company whose shares are regularly traded on an established securities market)* *(Refer definition D2)*

Yes ☐ *(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)*

Name of listed company_____

Nature of relation: ☐ Subsidiary of the Listed Company OR ☐ Controlled by a Listed Company

Name of stock exchange_____

Is the Entity an Active NFE? *(Refer definition D3)*

Yes ☐ ☛ Also provide UBO Form ☐

Nature of Business_____

Please specify the sub-category of Active NFE ☐☐ *(Mention code - refer D3)*

Is the Entity a Passive NFE? *(Refer definition E2)*

Yes ☐ ☛ Also provide UBO Form ☐

Nature of Business_____

V2 15/NOV/2016

I/We acknowledge and confirm that the information provided above is/are true and correct to the best of my/our knowledge and belief and provided after necessary consultation with tax professionals. I / We have understood the information requirements of the application form, including FATCA and CRS requirements, terms and conditions (read along with instructions and scheme related documents) and hereby confirm that the information provided by me/us on this form are true, correct, and complete.

Place : Date :

Authorized Signatories [with Company/Trust/Firm/Body Corporate seal]

Definitions/ Instructions / Guidance

A. ***Financial Institution (FI)***- The term FI means any financial institution that is a:

1 ***Depository institution:*** Accepts deposits in the ordinary course of banking or similar business.

2 ***Custodial institution:*** An entity that as a substantial portion of its business, holds financial assets for the account of others and where the entity's *gross income attributable to holding financial assets and related financial services equals or exceeds* 20 percent of the entity's gross income during the shorter of-

(a) The three-year period ending on December 31 of the year preceding the year in which the determination is made;

(b) The period during which the entity has been in existence before the determination is made)

3 ***Investment entity :*** Conducts a business or operates for or on behalf of a customer for any of the following activities: (a) Trading in money market instruments, foreign exchange, foreign currency,etc. (b) Individual or collective portfolio management. (c) Investing, administering or managing funds, money or financial asset on behalf of other persons. [OR] The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described herein. An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of: (i) The three-year period ending on 31 March of the year preceding the year in which the determination is made; or (ii) The period during which the entity has been in existence.

4 ***Specified Insurance company:*** Entity issuing insurance products i.e. life insurance or cash value products.

5 ***Holding company or treasury company:*** Is an entity that is a holding company or treasury centre that is a part of an expanded affiliate group that includes a depository, custodial institution, specified insurance company or investment entity

B. ***Direct Reporting NFE:*** *means a Non-financial Entity (NFE) that elects to report information about its direct or indirect substantial U.S. owners to the IRS*

C. **GIIN not required: Categories with codes**

Code	Sub-Category
01	Governmental Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Broad Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Governmental Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FI

D. ***Non-Financial Entity (NFE):*** Entity that is not a financial institution (including a territory NFE). Types of NFEs excluded from FATCA reporting are as below:

1. ***Publicly traded corporation (listed company):*** A company is publicly traded if its stock are regularly traded on one or more established securities markets.
2. ***Related entity of a listed company:*** The NFE is a related entity of an entity of which is regularly traded on an established securities market;
3. ***Active NFE:*** (is any one of the following):

Code	Sub-Category
01	Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is passive income and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE;
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a Financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements: • It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; • It is exempt from income tax in India; • It has no shareholders or members who have a proprietary or beneficial interest in its income or assets;

The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

Code	Sub-Category
A	An organization exempt from tax under section 501(a) or any individual retirement plan as defined in section 7701(a)(37)
B	The United States or any of its agencies or instrumentalities
C	A state, the District of Columbia, a possession of the United States, or any of their political subdivisions or instrumentalities
D	A corporation the stock of which is regularly traded on one or more established securities markets, as described in Reg. section 1.1472-1(c)(1)(i)
E	A corporation that is a member of the same expanded affiliated group as a corporation described in Reg. section 1.1472-1(c)(1)(i)
F	A dealer in securities, commodities, or derivative financial instruments (including notional principal contracts, futures, forwards, and options) that is registered as such under the laws of the United States or any state
G	A real estate investment trust
H	A regulated investment company as defined in section 851 or an entity registered at all times during the tax year under the Investment Company Act of 1940
I	A common trust fund as defined in section 584(a)
J	A bank as defined in section 581
K	A broker
L	A trust exempt from tax under section 664 or described in section 4947(a)(1)
M	A tax exempt trust under a section 403(b) plan or section 457(g) plan
14	Owner Documented FI

E. ***Other definitions***

1 ***Related entity:*** An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity.

2 ***Passive NFE:*** The term passive NFE means any NFE that is not (i) an Active NFE (including publicly traded entities or their related entities), or (ii) a withholding foreign partnership or withholding foreign trust pursuant to relevant U.S. Treasury Regulations.(Note: Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

3 ***Passive income:*** The term passive income means the portion of gross income that consists of: (a) Dividends, including substitute dividend amounts; (b) Interest; (c) Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool; (d) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE; (e) Annuities; (f) The excess of gains over losses from the sale or exchange of property that gives rise to passive income described in this section.; (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any commodities, but not including: (i) Any commodity hedging transaction, determined by treating the entity as a controlled foreign corporation; or (ii) Active business gains or losses from the sale of commodities, but only if substantially all the foreign entity's commodities are property (h) The excess of foreign currency gains over foreign currency losses; (i) Net income from notional principal contracts; (j) Amounts received under cash value insurance contracts; (k) Amounts earned by an insurance company in connection with its reserves for insurance and annuity contracts

4 ***Controlling persons:*** Controlling persons are natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" shall be interpreted in a manner consistent with the Financial Action Task Force recommendations.

5 ***Specified US Persons –*** Any US Person other than i). A publicly traded corporation; ii). A corporation that is a member of the same expanded affiliate group; iii). A tax exempt organization; iv). an individual retirement plan; v). the United States or an agency or instrumentality of the United States; vi). Any state [including District of Columbia and United States possession] or State Authorities; vii). A bank, viii). A real estate investment trust; ix). A regulated investment company; x). an entity registered with the SEC under the Investment Company Act of 1940; xi). A common trust fund; xii). A tax exempt trust; xiii). A registered dealer; xiv). A registered broker

6 ***Expanded affiliated group:*** Expanded affiliated group is defined to mean one or more chains of members connected through ownership (50% or more, by vote or value, as the case may be) by a common parent entity if the common parent entity directly owns stock or other equity interests meeting the requirements in at least one of the other members.

7 ***Owner documented FI:*** An FI meeting the following requirements: (i) The FI is an FI solely because it is an investment entity; (ii) The FI is not owned by or related to any FI that is a depository institution, custodial institution, or specified insurance company; (iii) The FI does not maintain a financial account for any nonparticipating FI; (iv) The FI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and (v) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 FI, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FI that holds its interest through a participating FI, a deemed-compliant FI (other than an owner-documented FI), an entity that is a U.S. person,an exempt beneficial owner, or an excepted NFE.

Voluntary

Broker/Agent Code ARN:		SUB-BROKER:	EUIN:
Unit Holder Information			
Name of the First Applicant :			
PAN Number :	KYC:	Date of Birth :	
Father Name :		Mother Name :	
Name of Guardian :		PAN :	
Contact Address :			
City :	Pincode :	State :	Country :
Tel.(Off) :	Tel.(Res) :	Email :	
Fax (Off) :	Fax (Res) :	Mobile :	
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?		Yes	No
Mode of Holding :		Occupation :	
Name of Second Applicant :			
PAN Number :	KYC:	Date of Birth :	
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?		Yes	No
Name of Third Applicant :			
PAN Number :	KYC:	Date of Birth :	
Income Tax Slab/Networth :		Occupation Details	
Place of Birth :	Country of Tax Residence :		
Tax Id No. :			
Politically exposed person / Related to Politically exposed person etc.?		Yes	No
Other Details of Sole/ 1st Applicant			
Overseas Address : (In case of NRI investor)			
City :	Pincode :	Country :	
Bank Mandate Details			
Name of Bank :		Branch :	
A/C No. :	A/c Type :	IFSC Code:	
Bank Address :			
City :	Pincode :	State :	Country :
Nomination Details			
Nominee Name :		Relationship :	
Guardian Name (If Nominee is Minor) :			
Nominee Address :			
City :	Pincode :	State :	Country :
Declaration and Signature I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.			
Date :		Place :	
1st applicant Signature :	2nd applicant Signature :	3rd applicant Signature :	

Mandatory

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

1. Your trading account has a "Unique Client Code" (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker's Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

End of Document

Name of the Client: .....

Signature of the Client: .....

Mandatory

USER CONSENT

The undersigned declare and confirm the following:

I / We hereby authorise LIBORD BROKERAGE PVT LTD to verify/check/obtain/download my KYC details from the CKYC Registry:

(i) By verifying such details through the CKYC number (i.e., KYC identified Number – KIN) provided by me / us or,
(ii) By obtaining such CKYC number/KIN, through details shared by me / us, as part of Account Opening Form.

I / We hereby grant my / our explicit consent to download my records from CKYCR.

	Name	Signature
First Holder		☞
Second Holder		☞
Third Holder		☞

Annexure -14

UNDERTAKING CUM DECLARATION
(Mandatory only for clients activated in Currency segment)

Date : _____

To,
Libord Brokerage Pvt Ltd.
524, B wing, Chintamani plaza,
Near WEH Metro Station, Andheri
Kurla Road, Chakala, Andheri (East),
Mumbai 400099.

Client Code With LBPL: _____

Sub : Currency Derivative Exposure.

Dear Sir/Madam,

For the purpose of dealing in Currency Derivatives Contracts for INR paired contracts, I hereby confirm that I will always abide by the RBI/ Exchange guidelines, as and when issued. I understand some of the guidelines are as under. Further I will go through related RBI circulars and will remain updated on any related development.

1. I/We shall have valid underlying exposure which shall not hedged using any another derivative contract.
2. I/We shall present the documentary proof for same in case of any clarification required.
3. I/We are aware that all positions in all contracts involving INR, across all the Recognized Stock Exchanges put together, are backed by contracted exposure which is not hedged elsewhere.
4. I/We understand that the notional amount and tenor of the derivative contract should not exceed the value and tenor of the exposure.
5. I/We are aware that in case the exposure ceases to exist, in full or in part, the user has appropriately adjusted the hedge to ensure adherence to point 4 above, unless the original derivative is assigned against any other unhedged exposure. No adjustment to the hedge is required to be made if, in the considered opinion of the Authorised Dealer, the change in exposure is not material.
6. I/We are aware that if I/We intend to take position beyond USD 100 million (or equivalent) in contracts involving INR, in all Stock Exchanges put tighter, then an Authorised Dealer/ Custodian needs to be designated who shall monitor the transactions.
7. I/We shall always adhere to regulatory provisions, circulars, Rules, Regulations & Guidelines issued by SEBI, RBI & Exchanges from time to time.
8. I/We declare that the information submitted by me/us is true to the facts submitted by me/us and I/We shall be held responsible in case of any breach / incorrect information found.

Accordingly, on the basis of above undertaking, I/We request **LBPL** to allow transactions in currency segment in INR paired contracts against my/our permitted underlying Exposure. Further, I understand that, LBPL can take actions based on its various Risk and Surveillance parameters which I agree to.

Client's Signature	☞
Client Name	

Annexure-A

Demat Debit and Pledge Instruction

Sr	Purpose	1st Holder	2nd holder	3rd Holder
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker			
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.			
4.	Tendering shares in open offers through Stock Exchange platforms.			
Client Code:	BO-ID:	BO Name:		

I / We accord by My / Our concern along with DDPI to move / pledge securities from my / our Demat account to the following accounts only.

Client Id	Type of A/c	Depository	Exchange
1208620000000163	Pool A/c	CDSL	BSE
1208620000000178	Pool A/c	CDSL	NSE
1100001100020421	Early Pay in A/c	CDSL	NSE
1100001000023652	Early Pay in A/c	CDSL	BSE
1208620000001279	Client Sec Margin Pledge A/c	CDSL	BSE / NSE/ MCX
IN591980	Pool / CM BP ID	NSDL	NSE
IN647384	Pool / CM BP ID	NSDL	BSE

Name (1) _____ Signature _____

Name (2) _____ Signature _____

Name (3) _____ Signature _____

(In Case of HUF)

COPARCENER's NAME	SIGNATURE

	WITNESS 1	WITNESS 2
Signature		
Name		
Address		

We hereby accept to exercise the authorities conferred upon us in terms of the purposes mentioned hereinabove. This document is in conformity with the conditions as Specified in SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022.

For LIBORD BROKERAGE PVT LTD

Date:

Place:

Director / Authorised Signatory

Mandatory

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

❑ Jointly	❑ Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be **first holder**.		
❑ first Holder	❑ All Holder	Email id
	❑ Second Holder	
	❑ Third Holder	

	First Holder	Second Holder	Third Holder
Name			
Signature	☞	☞	☞

Mandatory

HUF DECLARATION

To,

Date : _____

LIBORD BROKERAGE PVT. LTD.
B/524, Chintamani Plaza, Andheri Kurla Road,
Andheri (East),Mumbai -400099

Dear Sir,
I hereby request you to open our Demat / Trading account with you, for our HUF. Being Karta of my family, I hereby declare that following is the list of family members in our HUF, as on date of Application, i.e._____.

SR. NO.	NAME OF FAMILY MEMBERS	RELATIONS	DATE OF BIRTH	CO-PARCENERS SIGN.

I hereby also declare that the particulars given by me as stated above are true to the best of my knowledge as on date for making this Application to open Account.

I agree that any false/misleading information given by me or suppression of any material information will render my said account liable for termination and further action. Further, I agree that I will immediately intimate any death/s or birth/s in the family as it changes the constitution of the HUF.

Thanking you
Yours truly,

☞_____
Signature of Karta (Please Affix the stamp of HUF)