

# IIFL

## India Infoline Limited

### Account Opening Form (Individual) Depository Services - NSDL

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

Sr. No.

Client ID

I	N	3	0	2	2	6	9								
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Marketing Executive

Code

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Relationship Manager

Code

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Branch/ FAN Code

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Branch/ FAN Name

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## CHECKLIST AND GUIDELINES FOR DOCUMENTS TO BE SUBMITTED

(INDIVIDUAL/ NRI/ SOLE PROPRIETORSHIP FIRM/ HUF/ FOREIGN NATIONAL/ UNREGISTERED TRUST/FIRM/ AOP)

VALIDATION	IDENTITY PROOF			ADDRESS PROOF		BANK PROOF		
PROOFS	NAME	SIGN	PHOTO	CORRESPONDENCE ADDRESS	PERMANENT ADDRESS	BANK NAME	BANK A/C.NO	BANK MICR CODE
PAN CARD (MANDATORY)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					
PASSPORT **	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
DRIVING LICENSE **	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
ELECTION VOTER ID	<input type="checkbox"/>		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>			
RATION CARD				<input type="checkbox"/>	<input type="checkbox"/>			
TELEPHONE BILL @				<input type="checkbox"/>	<input type="checkbox"/>			
ELECTRICITY BILL @				<input type="checkbox"/>	<input type="checkbox"/>			
BANK PASSBOOK *				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
BANK STATEMENT #				<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
CANCELLED CHEQUE ^ ^						<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BANK VERIFICATION LETTER in original (SCB only) %	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEAVE & LICENSE AGREEMENT** (Registered)				<input type="checkbox"/>	<input type="checkbox"/>			

### CONDITIONS

- \*\* The proofs obtained should be valid for atleast 2 months from the date of this application.
- @ The proofs should not be older than 2 months as on date of this application.
- \* Bank passbook should have Bank Manager's Stamp & Signature if it is hand written.
- # Bank Statement should be in original and of latest quarter. If not original then it should have Bank manager's stamp & signature.
- ^ ^ Cancelled Cheque should have name of the account holder and account number printed on the same.
- % Bank Verification letter should be as in prescribed format on the letter head of the Bank duly signed and authorised by the Bank official mentioning his/her Name, Designation, Signature & Employee Code.

### NOTES

- JOINT HOLDERS:** Proof of Identity and Address of all Holders to be submitted
- NRI:** Proof of both Indian and Foreign Address to be submitted; NRE status - Repatriable Bank A/c NRO status - Non-Repatriable Bank A/c; Permission of Dealing from Autorised Dealer/RBI
- Sole Proprietorship Firm:** Demat A/c in name of Individual only; Declaration in the prescribed format to be signed by the Sole Proprietor
- Partnership Firm/ AOP:** Proof of Identity and Address of all Partners to be obtained; Proof of address and Bank A/c should be in name of Partnership Firm; Declaration in the prescribed format to be signed by all Partners
- HUF:** PAN of HUF and Karta both to be obtained; Address and Bank proof to be in name of HUF; Declaration to be signed by Karta and all co-parceners
- Trust (Unregistered):** Proof of Identity and Address of all Trustees to be obtained; Proof of address and Bank A/c should be in name of Trust; Declaration in the prescribed format to be signed by Trustees; Unregistered Trust - Demat a/c in name of Trustees
- Minor:** Demat A/c - Joint a/cs not permitted with minor; PAN and Proof of Address of both Minor and Guardian to be submitted
- All **corrections** on the form should be countersigned with full signature. White ink is not allowed either in form or agreement
- Signatures** can be in English, Hindi or any other languages contained in 8th Schedule of the Constitution of India. Thumb impressions and the signatures other than in above mentioned languages must be attested by a magistrate or a Notary Public or a Special Executive Magistrate under his/her official seal
- All communications shall be sent at the correspondence address/ mobile number/ e-mail id of the Sole/ First holder only.

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

**INDIA INFOLINE LTD.**

Address: IIFL House, Sun Infotech Park, Road No. 16V,  
Plot No. B-23, MIDC, Thane Industrial Area,  
Wagle Estate, Thane - 400 604  
Tel.: 022 - 2580 6650 Fax: 022 - 2580 6654  
Email: info@5pmail.com

CDSL SEBI Registration No: IN DP CDSL 352 2006 (DP ID: 12044700);  
NSDL SEBI Registration No: IN DP NSDL 185 2000 (DP ID: IN302269)

(This information is the sole property of the depository participant and would not be disclosed to anyone unless required by law or except with the express permission of clients)

**ACCOUNT DETAILS (FOR OFFICE USE ONLY)**

DP ID         Client ID

Date : \_\_\_\_\_

Marketing Executive \_\_\_\_\_ Code       Branch Name \_\_\_\_\_

Relationship Manager \_\_\_\_\_ Code       Branch/FAN Code

HUB \_\_\_\_\_ Audited by \_\_\_\_\_

I/ We wish to open a Demat A  
following information is furnished:

ccount with India Infoline Ltd. in my/ our name and in this regard the

**PERSONAL DETAILS (Please fill details in BLOCK letters)**

**TYPE OF ACCOUNT** Please tick (✓) whichever is applicable)

STATUS	SUB – STATUS
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual/ HUF/ AOP/ LLP/ Firm <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non repatriable <input type="checkbox"/> NRI – Depository Receipts <input type="checkbox"/> Minor <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI Non repatriable Promoter <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National – Depository Receipts <input type="checkbox"/> Minor <input type="checkbox"/> Others (specify) _____

**INDIVIDUAL (SOLE/ FIRST HOLDER)**

Name  First  Middle  Last

Father/Husband's Name  First  Middle  Last

Title: ☐ Mr. ☐ Mrs. ☐ Ms. ☐ Other \_\_\_\_\_ Suffix \_\_\_\_\_

**SOLE PROPRIETORSHIP/ HUF/ FIRM/ TRUST/ AOP**

Name of HUF/ Firm/ Trust/ AOP \_\_\_\_\_

Name of Proprietor/ Karta  First  Middle  Last

## NRIs ONLY

Please tick (✓) if you are a: ☐ NRO ☐ NRE ☐ NRI (Repatriable)/Non-repatriable

(A) RBI Ref No.: \_\_\_\_\_

(B) RBI Approval Date 

D	D	M	M	Y	Y	Y	Y
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Foreign Address \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_ Country \_\_\_\_\_ Pin Code 

--	--	--	--	--	--

Tel. \_\_\_\_\_ Mobile 

C	O	M	P	U	L	S	O	R	Y
---	---	---	---	---	---	---	---	---	---

 Fax \_\_\_\_\_

Name of Beneficial Owner \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_

Address \_\_\_\_\_

**I/ WE DECLARE THAT I/ WE HAVE COMPLIED AND WILL CONTINUE TO COMPLY WITH FEMA REGULATIONS FROM TIME TO TIME.**

I agree to receive important information, correspondence, etc. through SMS/ Email given below.

Mobile No.: 

C	O	M	P	U	L	S	O	R	Y
---	---	---	---	---	---	---	---	---	---

 Email ID: \_\_\_\_\_

**SOLE/FIRST HOLDER**

**SECOND HOLDER**

**THIRD HOLDER**

**SIGNATURE OF CLIENT(S)**



1/22



2/22



3/22

## ADDRESS AND OTHER DETAILS

Residence/ Permanent Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_

PIN Code 

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 Tel. \_\_\_\_\_ Fax \_\_\_\_\_

**Correspondence Address (If different from Permanent Address)** \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_

PIN Code 

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 Tel. \_\_\_\_\_ Fax \_\_\_\_\_

Mobile 

C	O	M	P	U	L	S	O	R	Y
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2/22

E-mail ID \_\_\_\_\_ 

C	O	M	P	U	L	S	O	R	Y
---	---	---	---	---	---	---	---	---	---



3/22

Date of Birth 

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

 Sex: ☐ Male ☐ Female Marital Status: ☐ Single ☐ Married

PAN 

C	O	M	P	U	L	S	O	R	Y
---	---	---	---	---	---	---	---	---	---

 IT Circle/ Ward / District: \_\_\_\_\_

**Residential Status:** ☐ Resident ☐ Non-resident Others \_\_\_\_\_

Nationality: ☐ Indian ☐ Others (specify) \_\_\_\_\_

**Address for communication/** ☐ Local/ Permanent Address ☐ Correspondence Address/ Foreign Address

**Corporate Benefits:** (Default option is Correspondence Address)

**SOLE/FIRST HOLDER**

**SECOND HOLDER**

**THIRD HOLDER**

**Client(s) Signature**



4/22



5/22



6/22

## CUSTOMER PROFILE

### 1) FINANCIAL DETAILS:

a) Income Range per Annum: ☐ Below Rs. 1,00,000 ☐ Rs. 1,00,001 to Rs.2,00,000 ☐ Rs. 2,00,001 to Rs. 5,00,000  
☐ Rs. 5,00,001 to Rs. 10,00,000 ☐ Rs. 10,00,001 to Rs. 25,00,000 ☐ More than Rs. 25,00,001

### 2) OCCUPATION DETAILS:

a. If employed: Service: ☐ Central Govt. ☐ State Govt. ☐ Public/Private Sector ☐ NGO ☐ Statutory Body  
☐ Professional ☐ Business ☐ Student ☐ Retired ☐ Housewife ☐ Others (pls specify) \_\_\_\_\_

If in Government Service, please specify: ☐ Civil ☐ Police/Enforcement ☐ Defence Services ☐ PSU

If employed, Name of the Employer \_\_\_\_\_

Address of the Employer \_\_\_\_\_

Tel. No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

b. If Self-employed: ☐ Business ☐ Profession ☐ Other \_\_\_\_\_

Nature of Business - (Products/ Services provided): \_\_\_\_\_

Name & Address: \_\_\_\_\_

Tel. No.: \_\_\_\_\_ Fax No.: \_\_\_\_\_

## BANK ACCOUNT DETAILS

Bank Name and Branch \_\_\_\_\_

Branch Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_

Country \_\_\_\_\_ PIN Code           Tel. \_\_\_\_\_

Bank A/c No.                      MICR No.

A/c Type: ☐ Savings ☐ Current ☐ Others (specify) \_\_\_\_\_ IFSC Code

(Copy of a cancelled cheque leaf/pass book/bank statement containing name of the account holder should be submitted)

## STANDING INSTRUCTIONS

I/We authorise you to receive each & every credits in my/our account without any instruction from me/us. (Automatic Credit) ☐ Yes ☐ No

Account Statement Requirement: ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly (Default option is monthly)\*

Do you wish to receive dividend/interest directly to your bank account given herein through ECS? ☐ Yes ☐ No

Account to be operated through Power of Attorney (PoA) ☐ Yes ☐ No

\*If Accounts statement require at shorter period (other than monthly), Beneficial Owner has to pay extra charges.

## JOINT HOLDER'S DETAILS (If any)

(Please provide PAN Card copy and Address Proof for all the joint holders)

**SECOND HOLDER NAME** First Middle Last Suffix

Name of Father/Husband First Middle Last

Title: ☐ Mr. ☐ Mrs. ☐ Ms. ☐ Other Suffix

Residence/ Permanent Address

City PIN Code

State Country Tel.

Mobile           Fax Date of Birth

E-mail ID                      Nationality ☐ Indian ☐ Others (specify)

PAN                      IT Circle/ Ward/ District No:

SEX: ☐ Male ☐ Female

**OCCUPATION** **SERVICE:** ☐ Central Govt. ☐ State Govt. ☐ Public/Private Sector ☐ NGO ☐ Statutory Body  
☐ Professional ☐ Business ☐ Student ☐ Retired ☐ Housewife ☐ Others (pls specify)

Nature of business: (Products/ services provided)

**THIRD HOLDER NAME** First Middle Last Suffix

Name of Father/Husband First Middle Last

Title: ☐ Mr. ☐ Mrs. ☐ Ms. ☐ Other Suffix

Residence/ Permanent Address

City PIN Code

State Country Tel.

Mobile           Fax Date of Birth

E-mail ID                      Nationality ☐ Indian ☐ Others (specify)

PAN                      IT Circle/ Ward/ District No:

SEX: ☐ Male ☐ Female

**OCCUPATION** **SERVICE:** ☐ Central Govt. ☐ State Govt. ☐ Public/Private Sector ☐ NGO ☐ Statutory Body  
☐ Professional ☐ Business ☐ Student ☐ Retired ☐ Housewife ☐ Others (pls specify)

Nature of business: (Products/ services provided)

## GUARDIAN'S DETAILS (IN CASE THE SOLE HOLDER IS A MINOR)

Name First Middle Last

Father/Husband's Name First Middle Last

Correspondence Address

City State Country PIN Code

Tel. Fax Mobile

E-mail ID

PAN                      IT Circle / Ward / District No:

Relationship with the applicant (if any) Date of Birth of Minor

## ADDITIONAL DETAILS (for Demat A/c)

<b>SMS ALERT FACILITY</b>	<input type="checkbox"/> Yes	Mobile No. +91 Refer to Terms & Conditions given as <b>ANNEXURE</b>	<input type="checkbox"/> No
easi	<input type="checkbox"/> Yes.	If yes, please contact your DP for details [Facility through CDSL's Website: <a href="http://www.cdslindia.com">www.cdslindia.com</a> wherein a BO can view his ISIN balances, transactions and value of the portfolio online.]	<input type="checkbox"/> No

## APPLICATION FOR OPENING DEMAT ACCOUNT IN THE NAME OF PARTNER(S)/ TRUSTEE(S)

*For Partnership Firm/ Unregistered Trust, Demat account will be opened in the name of Partner(s) or Trustee(s)*

### SOLE/ FIRST HOLDER'S DETAILS:

Name (Mr./ Ms.) \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_  
 Name of Father/ Husband \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_  
 Local/ Permanent Address \_\_\_\_\_  
 \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_ PIN Code [ ][ ][ ][ ][ ][ ]  
 Correspondence Address \_\_\_\_\_  
 \_\_\_\_\_ PIN Code [ ][ ][ ][ ][ ][ ]  
 City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_  
 Occupation \_\_\_\_\_ Fax \_\_\_\_\_ Tel. \_\_\_\_\_  
 Mobile [C][O][M][P][U][L][S][O][R][Y] E-mail ID \_\_\_\_\_ C O M P U L S O R Y  
 PAN [C][O][M][P][U][L][S][O][R][Y] IT Circle / Ward / District No: \_\_\_\_\_

**SECOND HOLDER NAME** \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_  
 Name of Father/ Husband \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_  
 Local/ Permanent Address \_\_\_\_\_  
 \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_ PIN Code [ ][ ][ ][ ][ ][ ]  
 Correspondence Address \_\_\_\_\_  
 \_\_\_\_\_ PIN Code [ ][ ][ ][ ][ ][ ]  
 City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_  
 Occupation \_\_\_\_\_ Fax \_\_\_\_\_ Tel. \_\_\_\_\_  
 Mobile [C][O][M][P][U][L][S][O][R][Y] E-mail ID \_\_\_\_\_ C O M P U L S O R Y  
 PAN [C][O][M][P][U][L][S][O][R][Y] IT Circle / Ward / District No: \_\_\_\_\_

**THIRD HOLDER NAME** \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_  
 Name of Father/ Husband \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_  
 Local/ Permanent Address \_\_\_\_\_  
 \_\_\_\_\_ City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_ PIN Code [ ][ ][ ][ ][ ][ ]  
 Correspondence Address \_\_\_\_\_  
 \_\_\_\_\_ PIN Code [ ][ ][ ][ ][ ][ ]  
 City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_  
 Occupation \_\_\_\_\_ Fax \_\_\_\_\_ Tel. \_\_\_\_\_  
 Mobile [C][O][M][P][U][L][S][O][R][Y] E-mail ID \_\_\_\_\_ C O M P U L S O R Y  
 PAN [C][O][M][P][U][L][S][O][R][Y] IT Circle / Ward / District No: \_\_\_\_\_

Address for communication/corporate Benefits ☐ Local/Permanent Address ☐ Correspondence Address/Foreign Address  
*(Default option is Local Address)*

### GUARDIAN DETAILS: (IF ANY OF THE PARTNER IS MINOR)

Name: Mr./ Ms. \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_  
 Correspondence Address \_\_\_\_\_  
 City \_\_\_\_\_ State \_\_\_\_\_ Country \_\_\_\_\_ PIN Code [ ][ ][ ][ ][ ][ ]  
 Relationship (if any) \_\_\_\_\_ Date of Birth of Minor [D][D][M][M][Y][Y][Y][Y]  
 PAN [C][O][M][P][U][L][S][O][R][Y] IT Circle / Ward / District No: \_\_\_\_\_  
 Sole/ First Holder [ ] Second Holder [ ] Third Holder [ ]



## INTRODUCER'S DETAILS (COMPULSORY)

EXISTING ACCOUNT HOLDER ☐ / BANK OFFICIAL ☐ / IIFL EMPLOYEE ☐ / ANY OTHER PERSON ☐

Introducer's Name: \_\_\_\_\_

Address: \_\_\_\_\_

Occupation: \_\_\_\_\_ Tel.no.: \_\_\_\_\_

DP ID: \_\_\_\_\_ For existing client only Client ID: \_\_\_\_\_ For existing client only Login ID: \_\_\_\_\_ For existing client only

PAN  C O M P U L S O R Y Designation \_\_\_\_\_ If bank employee

Bank & Branch Name \_\_\_\_\_ If bank employee

Employee Code: \_\_\_\_\_ If bank employee

Email Id: \_\_\_\_\_



Signature of the Introducer



Verified: Signature of the DP Official

## IN PERSON VERIFICATION DETAILS

**INDIA INFOLINE LIMITED - CDSL DP ID: 12044700**

This is to certify that I have carried out in person verification in respect of client(s) mentioned in the KYC form submitted for opening of demat account. (Only the employee of the company should do **"in-person"** verification & no other person should sign the same)

Name of the Employee \_\_\_\_\_ Employee Code \_\_\_\_\_

Branch/Authorised Service Centre \_\_\_\_\_


Signature of Employee :  


Stamp of DP: \_\_\_\_\_

Date \_\_\_\_\_

Place \_\_\_\_\_

**Signature of Client's** **SOLE/FIRST HOLDER**  

**SECOND HOLDER**  

**THIRD HOLDER**  

## DECLARATION





The Terms and Conditions pertaining to the India Infoline Beneficiary Account which are in force now, have been read by me/us. I/ We understood the same and I/ We agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/ We hereby declare that the details furnished above are true and correct to the best of my/ our knowledge and belief and I undertake to inform you of any changes there in immediately.

I/ We have read and understood Schedule of Charges and agree that my/ our opening of the India Infoline Beneficiary Account is subject to the payment of these charges. I/ We agree that the charges as stated herein may be modified/ revised and I/ We agree to pay the charges including any modification/revision thereto from time to time.

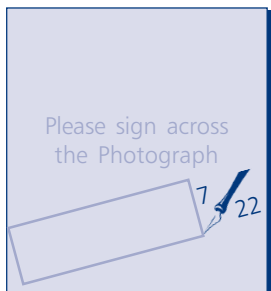
I/ We hereby agree to provide details to the Depository Participant from time to time to comply with the guidelines of Prevention of Money Laundering Act. I/ We hereby confirm that I/ We am/ are the beneficial owner of the Demat account opened with India Infoline Ltd.

I/ We have read the terms & conditions of DP-BO agreement and agree to abide by & be bound by the same and by the Bye Laws as are in force from time to time. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/ us and I/ We have understood the same and I/ We agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/ We also declare that the particulars given by me/ us are true to the best of my/ our knowledge as on the date of making such application. I/ We further agree that any false/ misleading/ untrue information given by me or suppression of any material fact will render my account liable for termination and further action.

I/ We have not withheld any information. I/ We confirm that I/ We have had no insolvency initiated against me/us nor have I/ We ever been adjudicated insolvent. I/ We have read the application form and brochures and am/ are aware of all the terms and conditions of availing the said services from India Infoline Ltd. I/ We authorise India Infoline Ltd., any other Group Company or their agents to make reference and enquiries relating to the information in this application which may be considered necessary by them. I/ We undertake to inform immediately India Infoline Ltd., any other Group Company and their agents regarding changes in my/ our residence/employment and to provide any such further information as they may be required. I/ We agree that my/ our execution of any instruction shall be governed by and be subject to the terms provided in this Agreement and the Terms and Conditions as may directed from time to time. India Infoline Ltd. reserves the right to reject any instructions/ declaration without providing reason for it whatsoever.

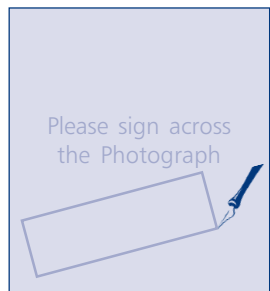
	NAME	SIGNATURE
<b>SOLE/FIRST HOLDER</b>		<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 
<b>SECOND HOLDER</b>		<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 
<b>THIRD HOLDER</b>		<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 
<b>GUARDIAN</b>		<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 

### SOLE/ FIRST HOLDER/ \*MINOR

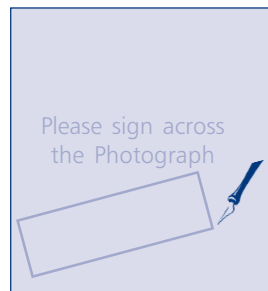


\*Account opened in the name of minor should not have joint holder(s) and it should be operated by a natural guardian. Minor need not sign across the photograph.

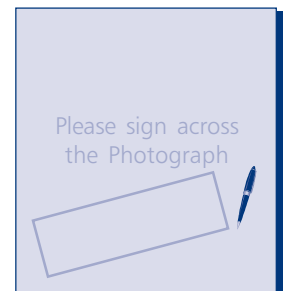
### SECOND HOLDER



### THIRD HOLDER



### GUARDIAN



(In case BO Account Holder is Minor)

## NOMINATION FORM

**To,  
India Infoline Ltd.**

Dear Sir/Madam,

☐ I/We do not wish to make a nomination for this demat account

☐ I/We nominate the following person who is entitled to receive security balances lying in my/ our account particulars whereof are given below, in the event of death of Sole holder or death of all joint holders.

DP ID 

1	2	0	4	4	7	0	0
---	---	---	---	---	---	---	---

 Client ID 

--	--	--	--	--	--	--	--

**NOMINEE DETAILS:**

Name of Nominee \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ PIN Code 

--	--	--	--	--	--

State \_\_\_\_\_ Country \_\_\_\_\_ Occupation \_\_\_\_\_

Tel. \_\_\_\_\_ Mobile 

--	--	--	--	--	--	--	--

 Fax \_\_\_\_\_

E-mail ID \_\_\_\_\_

Relationship with BO (If any) \_\_\_\_\_

Date of Birth (If nominee is a minor): 

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

 Age: \_\_\_\_\_

**AS THE NOMINEE IS A MINOR AS ON DATE, I/WE APPOINT FOLLOWING PERSON TO ACT AS GUARDIAN:** (to receive the securities in this account on behalf of the nominee in the event of the death of the sole holder/ all joint holders.)

Name of Guardian \_\_\_\_\_ First \_\_\_\_\_ Middle \_\_\_\_\_ Last \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ PIN Code 

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State \_\_\_\_\_ Country \_\_\_\_\_ Occupation \_\_\_\_\_ Age \_\_\_\_\_ years

Tel. \_\_\_\_\_ Mobile 

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 Fax \_\_\_\_\_

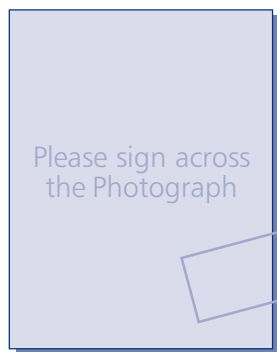
This nomination is in accordance with the **Section 109 A of the Companies Act, 1956**, and shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

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

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

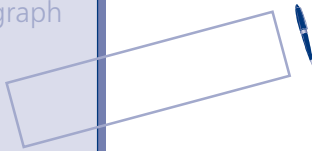
Nomination Form is accepted & registered wide Nomination Registration No. \_\_\_\_\_ dated \_\_\_\_\_

**PHOTOGRAPH OF NOMINEE**

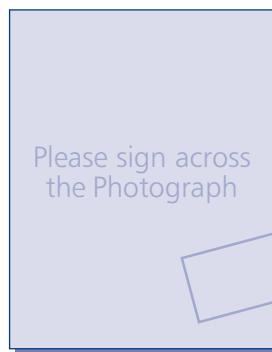


**SIGNATURE OF NOMINEE**

Please sign across the Photograph



**PHOTOGRAPH OF GUARDIAN** (In case of Minor nominee)



**SIGNATURE OF GUARDIAN**

Please sign across the Photograph



**SOLE/FIRST HOLDER**

**SECOND HOLDER**

**THIRD HOLDER**

Name

Specimen Signature



8/22



**NOTE:** Two witnesses shall attest Signature(s)/Thumb Impression(s).

**DETAILS OF THE WITNESS**

Witness 1

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature



Witness 2

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature

**NOMINATION FORM**

- I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
- II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository against the legal heir.
- VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository/ participant shall not be under any obligation to transfer the securities in favour of the Nominee.

**Prescribed by Depository; Provides basic rights and obligations of client and Depository Participant.  
Required if Demat account is being opened with IIFL.**

Client ID: 

1	2	0	4	4	7	0	0								
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### DP - CLIENT AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING TO OPEN A BENEFICIAL OWNER'S ACCOUNT

This Agreement made and entered into at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_, 20 \_\_\_\_ between **INDIA INFOLINE LTD.** (description of the legal entity) having his/its office/ registered office at IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, Thane Industrial Area, Wagle Estate, Thane - 400 604 and *Processing Office* at India Infoline Towers, No.143, M.G.R. Road, 3rd Floor, Central Processing Unit (CPU), Perungudi, Near Life Line Hospital, Chennai - 600 096, hereinafter called "the Participant" of the **ONE PART**; AND,

- 1) \_\_\_\_\_ situated at \_\_\_\_\_ 9/22 
- 2) \_\_\_\_\_ situated at \_\_\_\_\_  
- 3) \_\_\_\_\_ situated at \_\_\_\_\_  

(description of the legal entity) hereinafter called "the Beneficial Owner" of the **OTHER PART**. WHEREAS the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

**NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS:**

- 1. GENERAL CLAUSE:** The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.
- 2. FEES, CHARGES AND DEPOSITS:** The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice

in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid not exceeding 18% per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

*Continued in page 13*

### **3 STATEMENT OF ACCOUNT:**

- 3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. [The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time.] The Participant shall furnish such statements at such shorter periods as may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.
- 3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.
- 3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.
- 4. BENEFICIAL OWNER SHALL INTIMATE CHANGE OF PARTICULARS:** The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.
- 5. DEPOSITORY NOT LIABLE FOR CLAIMS AGAINST BENEFICIAL OWNER:** CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/ or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities credited to the Beneficial Owner's account.
- 6. AUTHORISED REPRESENTATIVE:** Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, 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.

- 7. CLOSURE OF ACCOUNT:** The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.
- 8. STAMP DUTY:** Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/ or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.
- 9. FORCE MAJEURE:** Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, nonperformance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, embargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.
- 10. SERVICE OF NOTICE:** Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posting. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

*Continued in page 14*

**11. ARBITRATION:** The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

**12. JURISDICTION:** The parties hereto agree to submit to the exclusive jurisdiction of the courts in Mumbai.

**13. GOVERNING LAW:** The Agreement shall be governed by and construed in accordance with the laws in force in India.

**IN WITNESS WHEREOF** the parties hereto have hereunto set and subscribed their respective hands/ seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

Signed and delivered by:

 10/22

**SOLE/ FIRST HOLDER**

(for and on behalf of the Client)



**SECOND HOLDER**



**THIRD HOLDER**

Signed and delivered by INDIA INFOLINE LIMITED  
(for and on behalf of the Depository Participant)

 2/4

Stamp of Depository Participant: \_\_\_\_\_

### DETAILS OF THE WITNESS

Witness 1 on behalf of IIFL

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature 

Witness 2 on behalf of IIFL

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature 

Witness 1 on behalf of Client

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature 

Witness 2 on behalf of Client

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature 

# AUTHORISATION LETTER FOR RECEIVING TRANSACTION STATEMENT THROUGH INTERNET

## THIS AUTHORIZATION FORMS PART OF DP-CLIENT AGREEMENT

- 1) \_\_\_\_\_ situated at \_\_\_\_\_  11/22 
- 2) \_\_\_\_\_ situated at \_\_\_\_\_  
- 3) \_\_\_\_\_ situated at \_\_\_\_\_  

(hereinafter called "the Client") and **INDIA INFOLINE LTD.** situated at IIFL House, Sun Infotech Park, Road No. 16V, Plot No.B-23, Thane Industrial Area, Wagle Estate, Thane - 400 604 and Processing Office at India Infoline Towers, No.143, M.G.R. Road, 3rd Floor, Central Processing Unit (CPU), Perungudi, Near Life Line Hospital, Chennai - 600 096 (hereinafter called "the Depository Participant"). **WITNESSETH**

WHEREAS the Client has permitted the Depository Participant to provide the transaction statement through internet.

NOW THEREFORE in consideration of the Depository Participant having agreed to provide the transaction statement through internet, both the parties to the agreement hereby covenant and agree as follows:

- The Depository Participant shall install adequate systems to restrict the access of the transaction statement only to the Client.
- The Client shall take all the necessary steps to ensure confidentiality and secrecy of the log-in name and password.
- The Client is aware that the transaction statement may be accessed by other entities in case the confidentiality/ secrecy of the login name and password is compromised.
- The Depository Participant and the Client shall have the right to terminate this agreement after giving a notice of atleast 10 days to the other party.
- The client agrees that the DP is authorised by him to disclose any information pertaining to the client's a/c and the balances in the said a/c to the DP and the owner of the website 5paisa.com (India Infoline Ltd.) to any Regulator or any other government official, without notice to the client.
- In case the Client opts for transaction statement through change in E-mail address, if any. The Participant about

change in E-mail address, if any. The Participant shall verify and confirm with the Client about the change. Further, the Participant shall confirm with the Client about validity of the E-mail address atleast once in a year.

- The Client agrees not to receive Transaction Statement in paper form from the Participant. Provided however that, in case when the Participant is not able to provide Transaction Statement to its Client's through Internet (web-based/ E-mail) due to any unforeseen problems, the Participant should ensure that the Transaction Statement reaches to the Client in physical form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.
- The client further undertakes to indemnify the DP wholly against any loss, injury, claim or damages that may be suffered by it due to or consequence upon such disclosure of information without notice to the client.
- The above terms and conditions are in addition to and not in violation of the terms and conditions forming a part of the "AGREEMENT BETWEEN THE DEPOSITORY PARTICIPANT AND THE PERSON SEEKING TO OPEN AN ACCOUNT WITH THE DEPOSITORY PARTICIPANT" signed by the Client at the time of opening the account with the Depository.

IN WITNESS WHEREOF the Depository Participant and the Client has caused these presents to be executed as of the day and year first above written.

### SIGNED AND DELIVERED BY (INDIA INFOLINE LIMITED)

 3/4 

(for and on behalf of the Depository Participant)

### SIGNED AND DELIVERED BY


 12/22 

**SOLE/FIRST HOLDER**

(for and on behalf of the Client)

**SECOND HOLDER**

**THIRD HOLDER**

### DETAILS OF THE CLIENT'S WITNESS

Witness 1

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature

Witness 2

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature



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

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

**TO,**  
**INDIA INFOLINE LTD.**  
Mumbai

Dear Sir/ Madam,

### Sub: Declaration of Coparcener(s)

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

#### BO ACCOUNT DETAILS:







**DP ID:** 12044700      **Client ID:** \_\_\_\_\_

Name of the Karta \_\_\_\_\_

Signature & Stamp of Karta alongwith stamp of HUF:



#### LIST OF CO-PARCENERS:

Sr. No.	Name	Sex [M/F]	Date of Birth	Relationship with Karta	Signature
1.					<div style="border: 1px solid black; width: 180px; height: 25px; display: inline-block;"></div> 
2.					<div style="border: 1px solid black; width: 180px; height: 25px; display: inline-block;"></div> 
3.					<div style="border: 1px solid black; width: 180px; height: 25px; display: inline-block;"></div> 
4.					<div style="border: 1px solid black; width: 180px; height: 25px; display: inline-block;"></div> 
5.					<div style="border: 1px solid black; width: 180px; height: 25px; display: inline-block;"></div> 
6.					<div style="border: 1px solid black; width: 180px; height: 25px; display: inline-block;"></div> 

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

Place : \_\_\_\_\_

Date : \_\_\_\_\_

## TERMS AND CONDITIONS-CUM-REGISTRATION/ MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL

(\* Registration for receiving SMS alerts from CDSL is mandatory for the client who are executing the POA in favour of stock broker.)

### ANNEXURE

#### DEFINITIONS:

In these Terms and Conditions the terms shall have 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 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400 001 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 customized 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. The 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 the 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 in 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 the 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 E-mail to CDSL at [complaints@cdslindia.com](mailto: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 communication between the service 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.

#### **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 warrant 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 the 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 of 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 service provider, to be sent to the said mobile number.

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I/ We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

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).

DP ID

Client ID

(Please write your 8 digit)

Sole/ First Holder's Name  First  Middle  Last

Second Holder's Name  First  Middle  Last

Third Holder's Name  First  Middle  Last

Mobile Number on which messages are to be sent +  -

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

The mobile number is registered in the name of  First  Middle  Last

Email ID

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

	SOLE/ FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
<b>SIGNATURES</b>	<input type="text"/> 13/22	<input type="text"/>	<input type="text"/>

Place

Date

### AVAILING OF VAS SMS FACILITY\*

**Subscription by client for value added services including receipt of updates on stock prices & margin/ ledger balance of client on their registered mobile number**

Name

Login ID

Dear Sir/Madam,

I want to avail the below mentioned facilities through SMS over my

Mobile No.

Subscribe through SMS (Send SUB <your Client id> to 567675555 and get VAS SMS & make an informed decision by availing the following facilities:

- Stock ideas by research team
- Net position of your top five stocks
- Updates on your stock prices during market hours
- Updates on Ledger Balance on daily basis

For any queries & suggestions call on (022) 3054 2995 / 97 or mail us on vas@indiainfoline.com **I hereby agree to pay such fees as may be prescribed by IIFL from time to time for availing the above facilities.**

**Whenever I want to discontinue the said facilities, I shall inform to IIFL on the contact number and/ or send mail as mentioned above.**

I declare that the above is my personal mobile number and is always in my safe custody. I will be solely responsible for the security of the information provided on my aforesaid mobile number. I shall keep IIFL informed of any change in my mobile number. Further, I agree and undertake to indemnify IIFL and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non-litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.

Yours faithfully,

Client Signature

14/22

## AUTHORISATION FOR RECEIPT OF DOCUMENTS IN DIGITAL MODE

### Required for issuance of Statement of Account and other documents on the client's registered e-mail id.

To,

**India Infoline Ltd.**

Mumbai

Sir,

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

E-mail Id \_\_\_\_\_

I/We further hereby agree that the India Infoline Ltd. shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id. In this regard, I/we further confirm and agree that:

- (i) The above is my/ our personal E-mail id. I/ We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. IIFL shall not be liable to or responsible for any breach of secrecy. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- (ii) E-mails sent to any of the above mentioned e-mail account, which have not bounced back, shall be deemed to be duly delivered to the me/us.
- (iii) In the event any e-mail sent by IIFL bounces back due to insufficient space in my/our inbox or in the event any network problem occurs, IIFL shall in no way be responsible for the same.
- (iv) IIFL shall not take cognizance of out-of -office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- (v) Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by IIFL.
- (vi) IIFL may at its discretion discontinue to send me/us

the Statements in physical form.

- (vii) IIFL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- (viii) IIFL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from IIFL.
- (ix) I/We shall inform IIFL by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the E-mail given above.
- (x) I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with IIFL. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.

Whenever I/We want to discontinue the said facilities, I/We shall inform to IIFL immediately in writing in prescribed format.

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

I/We further agree that IIFL may at its sole discretion also provide such Statements in physical form.

Yours faithfully,

 15/22

**FIRST HOLDER's SIGNATURE**

**MUTUAL FUND SERVICE SYSTEM FACILITY AND BSE STAR MUTUAL FUND**

**Required if the client wants to avail Mutual Fund Service System facility & BSE StAR Mutual Fund provided by NSE & BSE respectively**

To,  
**India Infoline Limited**  
IIFL House, Sun Infotech Park,  
Road No. 16V, Plot No.B-23,  
Thane Industrial Area, Wagle Estate, Thane - 400 604

Date: \_\_\_\_\_

Sir,

**Sub: Mutual Fund Service System (MFSS) facility / BSE StAR MUTUAL FUND (hereinafter jointly referred to "Mutual Fund Transaction Facilities")**

I/ We \_\_\_\_\_ (name of the client/ first holder) am/ are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment and F&O/ Derivatives segment of National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Limited (BSE) (hereinafter jointly referred to as "Exchanges").

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

For the purpose of availing these facilities, I/ We state that Know Your Client details as submitted by me/ us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/ We further confirm that the details contained in same remain unchanged as on date.

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

I/ We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

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

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

Thanking you,

Yours faithfully,

\_\_\_\_\_  
16/22

**First Holder**

\_\_\_\_\_

**Second Holder**

\_\_\_\_\_

**Third Holder**

My our Demat Account No. \_\_\_\_\_



## Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUAL FUND offered by NSE and BSE respectively

### 1. Definition:

In these terms and conditions, the terms shall have following meaning unless stated otherwise:

1. **"BSE"** shall mean Bombay Stock Exchange Limited
2. **"Exchanges"** shall mean NSE and BSE jointly
3. **"Investor/ Client"** shall mean client of the Participant who have requested for registration for Mutual Fund Trading facilities.
4. **"Participant"** shall mean India Infoline Limited
5. **"Mutual Fund Transaction Facilities"** shall mean MFSS and BSE StAR MUTUAL FUND jointly
6. **"NSE"** shall mean National Stock Exchange of India Ltd.

### 2. Pre-requisites:

Pre-requisites for becoming Investor/ Client for the Mutual Fund Transaction facilities

- 2.1 The Client is desirous of investing in units of mutual fund schemes through Mutual Fund Transaction facilities.
- 2.2 The Client intends to execute his/her instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the Mutual Fund Transaction facilities.
- 2.3 The client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transacting through the Participant.
- 2.4 The Client has approached to the Participant with the application for availing the Mutual Fund Transaction facilities.
- 2.5 The client has submitted relevant KYC (Know Your Client) details to the Participants.

### 3. Terms and Conditions:

- 3.1 The client shall be bound by circulars issued by Exchanges, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 3.2 The client shall notify the Participant in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant at the time registering as a client for participating in the Mutual fund transaction facilities or at any time thereafter.
- 3.3 The client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.

- 3.4 The client has read and understood the risks involved in investing in Mutual Fund Schemes.
- 3.5 The client shall be wholly responsible for all his investment decisions and instruction.
- 3.6 The client shall ensure continuous compliance with the requirements of the NSE, BSE, SEBI and AMFI.
- 3.7 The Client shall pay to the Participant fees 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 Participant renders to the Client.
- 3.8 The client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
- 3.9 In the event of non-performance of the obligation by the Participant, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSE or NSCCL or BSE.
- 3.10 In case of any dispute between the Participants and the investors arising out of the Mutual Fund Transaction facilities, NSE and/ or NSCCL and BSE agrees to extend the necessary support for the speedy redressal of the disputes.

### 4. Additional Terms and conditions:

- 4.1 The client understands and agrees that India Infoline Limited shall make available the Mutual Fund Transaction Facilities for the schemes of Mutual Funds which have entered into an agreement with India Infoline Limited ("eligible schemes").
- 4.2 Mutual fund Transaction Facilities provided by India Infoline Limited shall be available for the units of the eligible schemes which are in dematerialized form. The said facility shall not be provided for the units of the schemes which are not available in dematerialized form.
- 4.3 Client agrees to provide the correct information with respect to its account including information with regard to Bank and Demat account of the client. Any loss/ damages caused due to wrong information being submitted by the client shall be sole responsibility of the client and the client shall keep the Participant indemnified for the same.
- 4.4 Fees: Participant reserves the right to charge such fees from time to time as it deems fit for providing the services to the Client and the Client agrees and

**Client Signature**

17/22

undertakes to pay fees / brokerage and statutory levies/ charges as may be levied by the Participant from time to time.

- 4.5 The Client agrees and understands that the Participant is only a facilitator for the client for applying in the Mutual Fund units. Allotment of units shall be at the sole discretion of the respective Asset Management Company ("AMC") and the Participant shall not be held liable or responsible for any act/ deed / non-action of the AMC.
- 4.6 The client agrees not to hold the Participant responsible for any transactions rejected by the Exchanges/ AMC due to any reasons.
- 4.7 The Client agrees and undertakes to provide funds to the Participant equivalent to the subscription amount and applicable brokerage/ fees/ charges before applying for mutual fund units through the Participant. The client further agrees and authorizes the Participant to utilize the surplus funds in the client's Broking account held with the Participant in its capacity as a Stock Broker and transfer funds to the extent of subscription amount and / or applicable brokerage, fees and charges (in case of both subscription and redemption) to meet the debit in the client's Mutual fund transaction account.
- 4.8 The Client agrees and understands that in absence of sufficient funds in the client's account, the Participant may not execute the client's instruction for applying in any Mutual fund scheme.
- 4.9 The client agrees and understands that in case physical documents are being submitted for any transaction, the Client shall be solely responsible for the timely submission of the same. Participant shall not be responsible for any lost profits or charges levied by Exchanges/ AMC, etc due to non-submission of documents within the prescribed time limits.
- 4.10 The client agrees that before giving any instruction for sale / redemption order of Mutual fund units, the client shall ensure that the required Mutual Fund units are transferred from the client's demat account to such account as may be prescribed by the Participant. The Client agrees and understands that the Participant shall check the availability of units prior to execution of sale/ redemption order and in case of non-availability of the same the Participant shall have a right to reject / refuse the order. The Participant shall not be held responsible for non execution of any order in case the units are not available in the account as prescribed by the Participant.
- 4.11 The Client agrees that the Participant may refuse to execute any buy / sell order or allow any trade or reject any trade as per its Risk Management Policy or for any other reason as it may deem fit, from time to time, without any obligation of prior intimation to client and the client agrees to abide by the same.
- 4.12 In case of units wrongly / erroneously subscribed and delivered in my account, the Participant is authorised to automatically transfer the units in its pool / beneficiary or other account without client's consent.
- 4.13 The Client agrees and understands that the terms and conditions as mentioned in the Member - Client agreement and Annexure thereto, clauses pertaining to Internet Trading and DP - Client agreement entered into with the Participant in its capacity as Stock Broker and Depository Participant continues to remain applicable for transacting in Mutual Fund units.
- 4.14 The client agrees to receive all trade confirmations, statements including statement of account, etc in electronic form at the e-mail id provided by the client in the KYC form or as would be changed and intimated to the Participant from time to time.
- 4.15 The client agrees to indemnify and keep safe, harmless and indemnified the Participant and its officials from any damages, claims, demands, proceedings, loss, cost, charges, penalties and expenses whatsoever which a Participant may at anytime incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the mutual fund transaction facilities by the Client.
- 4.16 The Client and the Participant agrees to refer any claims and/ or disputes to the Arbitration under the Indian Arbitration and Conciliation Act, 1996.
- 4.17 The Participant may amend the terms and conditions with a notice to the Client.
- 4.18 Instructions issued by Authorised representatives, if any of the client shall be binding on the client in accordance with the letter authorizing the said representative to deal on behalf of the said client.
- 4.19 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
- 4.20 The Client have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the Participant from time to time.
- 4.21 The Client is aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the Participant for providing the mutual fund transaction facilities.

18/22  
  
**Client Signature**



## AUTHORIZATION LETTER

To,  
**India Infoline Limited**  
IIFL House, Sun Infotech Park,  
Road No. 16V, Plot No.B-23,  
Thane Industrial Area, Wagle Estate, Thane - 400 604

**Sub.: Mutual Fund Service System (MFSS) facility and BSE StAR MUTUAL FUND (hereinafter jointly referred to as "Mutual Fund Transaction Facilities") offered by NSE and BSE**

Sir,

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

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

In case of subscription request, I/ We hereby understand and agree that based on my instruction, the amount will be debited in my Mutual fund transaction account and surplus funds shall be transferred from my Broking account to my mutual fund transaction account as per this authority letter. I/ We further agree and understand that such funds will be used by the Participant for applying for mutual fund units after deducting the applicable brokerage, fees, charges and other statutory levies.

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

My/ our exposure limits in my trading account shall be reduced to the extent of the amount utilized for transacting in the mutual fund units as per my instruction.

I/ We agree and undertake to make good such shortfall immediately as may be informed by India Infoline Limited from time to time.

Name of the Client: \_\_\_\_\_

Client Code (Login ID): \_\_\_\_\_

 19/22

Signature of the Client

## SCHEDULE OF CHARGES

Mutual Fund Services	Schedule of Charges
LOGIN ID - _____ DP ID - _____  Service Charges for Mutual Fund Transaction	
Depository Services Charges	As applicable to the DP account of the client

### Notes:

- Customers will get Digital confirmation notes on their email ID mentioned in the account opening form. Physical print copy of digital confirmation note can be availed from the branches. Physical confirmation notes provided only on request, which would entail a nominal charge of Rs. 25/- for document handling. The same may be waived as per management's discretion.
- In case any charges are waived by the Exchange/ Depository, India Infoline Ltd may pass the benefit to the clients as per its sole discretion.
- The above charges are exclusive of the service tax, securities transaction tax, regulatory charges & stamp duties.
- Charges/ Service standards are subject to revision at the sole discretion of India Infoline Ltd. and as informed by communication sent by ordinary post/ Email.
- Value of transactions will be in accordance with NAV of the scheme as provided by respective AMCs.
- Charges quoted above are for services listed. Any service not quoted above would be charged separately.
- Customer is required to maintain a minimum balance of Rs 1000/- in his/ her Ledger account.

I/ We have understood and accepted the schedule of charges as stated here in above.

Sole/ First Holder  <sup>20</sup>/<sub>22</sub> 
 Second Holder  
 Third Holder  

## SCHEDULE OF CHARGES

### Depository Charges

DP Annual Maintenance Charges	Rs. 25** per month + Service Tax
Credit Charges	NIL
Debit Charges	0.05% (Minimum Rs 15/- - Maximum Rs 100) per debit transaction

\*\*These charges are billed every month and will be debited to the ledger.

### Other Charges

	Standard charges	Special Annual Scheme
Pledge creation	Rs. 50	Rs. 50
Pledge closure	--	--
DEMAT		
Per certificate	Rs. 15	Rs. 15
Postal charges per request	Rs. 40	Rs. 40
REMAT		
Per certificate	Rs. 15	Rs. 15
Postal charges per request	Rs. 40	Rs. 40
Rejection/Failure per entry	Rs. 50	Rs. 50

### VAS SMS Facility

☐ Rs 249 per month

Remark :

#### NOTES:

- Customers will get Statement of Transaction on their E-mail ID mentioned in the account opening form. Physical print copy of Statement of Transaction can be availed from the branches.
- In case of Customer opting for Physical Documents options for receiving any Documents, Document handling charge of Rs.25/- per dispatch will be levied. This charge may be partly/ fully waived off for high networth/large Customer at the discretion of IIFL.
- The above charges are exclusive of Service tax, Securities Transaction Tax, regulatory charges and stamp duty. The same shall be charged to the Client's account on actual basis.
- Inter/ settlement/ Beneficiary to pool transfer would be charged @ Rs.15/- per scrip plus service tax.
- Charges/ service standards are subject to revision at sole discretion of India Infoline Ltd. and as informed by communication sent by ordinary post/ E-mail.
- Value of the transaction will be in accordance with rates provided by Depository.
- Transaction charges will be payable on a monthly basis.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- No refund of account opening charges would be given if the account could not be opened due to non submission of complete documents by the client or due to lack of desired co-operation from the client.
- Management reserves the right to freeze, discontinue or suspend any account if required.

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

Sole/ First Holder

21/22

Second Holder

Third Holder

Branch Manager Name: \_\_\_\_\_

Branch Manager Signature: \_\_\_\_\_

TEAR HERE

## OTHER INFORMATION ABOUT IIFL

### LIST OF DESIGNATED BANKS

1. HDFC BANK    2. ICICI BANK    3. AXIS BANK  
4. CITIBANK N.A    5. BANK OF BARODA    6. YES BANK

### LIST OF DESIGNATED DEPOSITORY PARTICIPANTS

1. INDIA INFOLINE LTD.

**NOTE:** IIFL reserves the right to make any modifications in the above lists.

### DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENT:

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

## AUTHORISATION

IIFL will also make available the copy of these documents on IIFL Internet Platform. I also hereby authorise India Infoline Limited to send the copy of executed document on my e-mail id furnished by me while opening of this account.

**CLIENT SIGNATURE**

 22/22

## FOR OFFICE USE ONLY

Form No.: \_\_\_\_\_

1. Complete Documentation Received ☐ Yes ☐ No    2. If No, give details \_\_\_\_\_
3. "Verified with Original" stamp affixed on proofs ☐ Yes ☐ No
4. "PAN verified" stamp with Employee name & signature affixed on proof ☐ Yes ☐ No
5. Margin Money collected ☐ Yes ☐ No
6. If yes, Amount in Rs. \_\_\_\_\_ Amount in words \_\_\_\_\_
7. Unique Client Code \_\_\_\_\_ Original documents verified by: \_\_\_\_\_
- Authorised by: \_\_\_\_\_ 8. Chq./ CMS No: \_\_\_\_\_ 9. Chq./ CMS. Date: \_\_\_\_\_
10. Bank: \_\_\_\_\_

## ACKNOWLEDGEMENT RECEIPT FOR CLIENT

**India Infoline Limited    DP ID: 12044700**

Received the application from Mr/ Ms \_\_\_\_\_ as the sole/first holder alongwith \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. Your Client ID will be intimated to you shortly. Please quote the DP ID & CLIENT ID allotted to you in all your future correspondence.

Nomination Details: \_\_\_\_\_

Date : \_\_\_\_\_

Participant Stamp & Signature 

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

Date:

To,  
**INDIA INFOLINE LTD.**

Mumbai.

Dear Sir,

We refer to the trading account being opened/ opened with you in the name of \_\_\_\_\_ and declare and authorize you as under.

We recognize that a beneficiary account cannot be opened with a depository participant in the name of a partnership firm as per Regulations. To facilitate the operation of the above trading account with you and for the purpose of completing the securities transfer obligations pursuant to the trading operations, we authorize you to recognize the beneficiary account No. \_\_\_\_\_ with depository \_\_\_\_\_ opened as a joint account in the names of the partner of the firm.

We agree that the obligations for shares purchased and/ or sold by the firm will be handled and completed through transfer to/from the above-mentioned account. We recognize and accept transfers

made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

We hereby authorize \_\_\_\_\_, partner in the firm to execute/sign and submit such documents, agreements, deeds etc. as any be necessary to enter into the agreement and engage in business with India Infoline Ltd. and to place order for buying and selling of securities, sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership firm and to sign any authority letter including adjustment of balances.

Further, we acknowledge that we \_\_\_\_\_, \_\_\_\_\_ and \_\_\_\_\_

being partners of the above mentioned firm are responsible for the liabilities thereof. We shall advise you in writing for any change that takes place in the constitution of the firm at any time in the future.

NAME OF PARTNERS (IN BLOCK LETTERS)	SIGNATURES
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>
	<input type="text"/>

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

## FORMAT FOR BANK VERIFICATION LETTER

To,  
**INDIA INFOLINE LTD.**

Mumbai.

Dear Sir,

Date:

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

**Signature of Client**

Signed in my presence and attested \_\_\_\_\_  
(Name of Branch Manager)

Signature of Branch Manager \_\_\_\_\_  
(Sign under bank stamp)

MICR code of Branch \_\_\_\_\_



**FORMAT OF DECLARATION TO BE SIGNED BY THE PROPRIETOR OF SOLE PROPRIETORSHIP FIRM**

Date: \_\_\_\_\_

To,  
**India Infoline Ltd.**  
Mumbai.

Dear Sir/Madam,

I recognize that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per regulations. To facilitate the operation of the account with you and for the purpose of completing the share transfer obligations pursuant to the trading operations, I authorize you to recognize the beneficiary account no. \_\_\_\_\_ with Depository \_\_\_\_\_ (DP ID \_\_\_\_\_) opened in the name of the undersigned who is the sole proprietor of the firm for settlement of obligations in relation to securities for trade done on the Exchange.

I agree that the obligation for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above-mentioned account. I recognize and accept transfer made by you to the beneficiary account as completion of obligation by you in respect of trades executed in the above trading account of the firm.

Further I, the undersigned, am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for the entire obligation which may be standing in the firm's name in your books on the date of receipt of such notice and until all such obligations have been liquidated.

The cheque/ DDs (electronic/ physical) may be issued by me from my individual account or my joint account with some one else. This said amounts so given shall be solely/ exclusively for credit to the account of my sole proprietorship firm M/s \_\_\_\_\_ with IIFL. I shall not lay any claim whatsoever in future against IIFL for affording credit of such cheque/ DDs Issued from any individual/ joint account credit of which has provided by IIFL to the account of my proprietorship firm M/s \_\_\_\_\_

Yours faithfully



**CLIENT'S SIGNATURE**

Client's Name \_\_\_\_\_

**(FOR OFFICE USE ONLY)**

**LETTER OF UNDERTAKING OF IIFL REPRESENTATIVE**

I \_\_\_\_\_ (Emp. ID \_\_\_\_\_) hereby undertake that the details of the client given in the form Login ID are complete in all respect. I hereby undertake that, I have checked the following details in the form and will be responsible for any incomplete/inappropriate details of client.

Sr. No.	PARTICULARS (STRIKE OUT WHICHEVER IS NOT APPLICABLE)	TICK (✓) COMPLIED
1.	Address proof, PAN Proof, Bank proof & ID Proof has been collected from the client as prescribed by CDSL/NSDL. (In case of NRI Clients - Foreign Address Proof is obtained). In case of HUF accounts, NOC is obtained duly filled and signed by all coparceners)	<input type="checkbox"/>
2.	Personal Details of Client i.e Name, Address, PAN, Email, Mobile is correctly filled up and correct STATUS is ticked. Check the e-mail address by sending test E-mail.	<input type="checkbox"/>
3.	Proofs as per KYC is taken and is matching with Personal Details as filled up in the form.	<input type="checkbox"/>
4.	Account Details is completely filled up.	<input type="checkbox"/>
5.	Signature of the client has been taken on all designated places in the form.	<input type="checkbox"/>
6.	2 Witnesses of Clients & 2 Witness of IIFL are not same and their complete details is mentioned.	<input type="checkbox"/>
7.	IIFL undersigned official (only with "C" Code) signature is required in Agreements, Proofs and wherever DP official Signature is required.	<input type="checkbox"/>
8.	All supporting document has been verified with original and found valid in all respect. Relevant Rubber stamp is affixed on all proofs. In-person verification is done by IIFL employee only.	<input type="checkbox"/>
9.	Bank Account Details is filled up the form with MICR code. In case of NSDL form MICR number does not starts with "Zero".	<input type="checkbox"/>
10.	Organisation Details/ Joint Holder's Details is filled up in the form.	<input type="checkbox"/>
11.	Guardian's Details (in case of Minor) is filled up in the form.	<input type="checkbox"/>
12.	Nomination Details is filled up in the form. If there is no nomination, relevant option is selected.	<input type="checkbox"/>
13.	Standing instructions is filled up in the form.	<input type="checkbox"/>
14.	Declaration is filled up. Photographs is pasted (not stapled) and signature across the photograph is taken.	<input type="checkbox"/>
15.	In Person Verification details are filled up in the form with signature and Rubber stamp of DP is affixed.	<input type="checkbox"/>
16.	DP Agreements is filled up in the form.	<input type="checkbox"/>
17.	Authorization letter for receiving Transaction statement through Internet is filled up in the form.	<input type="checkbox"/>
18.	Receipt of documents in Digital Mode is filled up.	<input type="checkbox"/>
19.	Schedule of Charges has been ticked.	<input type="checkbox"/>
20.	Branch Manager/ Relationship Manager has signed the Schedule of Charges Section.	<input type="checkbox"/>
21.	Complete Details of each Promoters, Directors, Key Personnel is obtained & filled up.	<input type="checkbox"/>
22.	In case of Partnership Firm, Required Declaration has been obtained on Letter Head of firm.	<input type="checkbox"/>
23.	Signature of the Client is taken on the Acknowledgement slip after giving Client Copy of AOF to the Customer.	<input type="checkbox"/>

I have read and understood that if any of the requirements is not fulfilled then a penalty of Rs.500/- would be charged to me or any other action may be taken as deemed fit by the Management for non compliance from my end.

Name \_\_\_\_\_


  
**SIGNATURE**

For Branches and Locations of India Infoline Limited please visit our  
website: [www.indiainfoline.com](http://www.indiainfoline.com)



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India Infoline Ltd., IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, MIDC, Thane Industrial Area, Wagle Estate, Thane - 400 604

Tel: (91-22) 2580 6650 • Fax: (91-22) 2580 6654

Member: BSE and NSE (Cash, F&O & Currency Derivatives) SEBI Regn. No: BSE (Cash) INB 011097533, BSE (F&O) INF 011097533, NSE (Cash) INB 231097537, NSE (F&O) INF 231097537, NSE (CDS) INE 231097537, MCX-SX (CDS) - INE261097537, Portfolio Management Service INP000002213, Merchant Banking INM 000010940, Depository: CDSL SEBI Registration No: IN DP CDSL 352 2006 (DP ID: 12044700); NSDL SEBI Registration No: IN DP NSDL 185 2000 (DP ID: IN302269)

**Version: 1.0/July/2010**