



## INDEX OF DOCUMENTS

Sr. No.	Name of the Document	Brief Significance of the Document	Page nos.
<b>SECTION-A - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI AND EXCHANGES</b>			
1.	Account Opening Form	Part I - KYC form - Document captures the basic information about the constituent and an instruction/ checklist.	6-7
		Part II - Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	8-13
2.	Rights & Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Included in Client Copy
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Documents describing significant policies and procedures of IIFL related to Trading Account of the client.	
6.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading and demat account on the stock exchange(s)/ depository.	
<b>SECTION-B - VOLUNTARY DOCUMENTS</b>			
1.	DP - Client Agreement	Prescribed by Depository; Provides basic rights and obligations of client and Depository Participant. Required if Demat account is being opened with IIFL.	16-18
2.	Authorisation for receiving transaction statement through Internet	Required for issuance of Monthly/ quarterly demat account statement at the client's registered e-mail id.	19
3.	Power of Attorney	Voluntary and Limited purpose POA in favour of Broker for operational requirements as per client authorization/ instruction. a POA in favour of IIFL.	20-23
4.	NOC from Co-parceners (HUF Account)	Prescribed by Regulator. Required if HUF is granting a POA in favour of IIFL.	24
5.	Terms and Conditions cum Registration form for receiving SMS Alerts from NSDL	Prescribed by Depository. Required to receive SMS alerts for the transactions executed in the demat account directly from the Depository	25-26
6.	Availing of Research 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	27
7.	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.	27
8.	Running Account Authorisation	Required for maintaining clients account on a running account basis.	28
9.	Authorization for considering of balance towards Family/ Group Accounts position	Required for considering the balances towards the family/ group account position as detailed by the client.	29
10.	Authorisation to send password by SMS	Required for issuing the password of the client's trading account on the registered mobile number	29
11.	Authorization for placing instruction and receipt of documents	Required if client wish to give authority of giving instructions and receiving documents to any person.	30
12.	Mutual Fund Service System facility & 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	31-38

**INSTRUCTIONS/ CHECK LIST FOR FILLING KYC FORM****A. IMPORTANT POINTS:**

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

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

### INSTRUCTIONS/ CHECK LIST FOR ACCOUNT OPENING FORM - TRADING ACCOUNT

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

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

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

2. Copy of cancelled cheque leaf/ pass book/ bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy/ Consulate General in the country where the client resides may be permitted.

### NOTES

1. In case of additional signature, separate Annexure should be attached to the Application Form.
2. All communication shall be sent at the correspondence address/ mobile number/ e-mail ID of the Sole/ First Holder only.
3. Thumb impressions and signature other than English or Hindi or any of the other language not contain in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
4. Strike of whichever is not applicable.

### ADDITIONAL INSTRUCTIONS

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

*Please note that the mode of payment should be only by way of account payee crossed cheques/Demand draft in favour of "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/ Trading 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.*

**IN CASE OF NON-INDIVIDUALS, ADDITIONAL DOCUMENTS TO BE OBTAINED FROM NON-INDIVIDUALS, OVER & ABOVE THE POI & POA, AS MENTIONED BELOW:**

<b>TYPES OF ENTITY</b>	<b>DOCUMENTARY REQUIREMENTS</b>
<b>Corporate</b>	• 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.
<b>Partnership firm</b>	• 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.
<b>Trust</b>	• 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.
<b>HUF</b>	• 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.
<b>Unincorporated association or a body of individuals</b>	• 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.
<b>Banks/Institutional Investors</b>	• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
	• Authorized signatories list with specimen signatures.
<b>Foreign Institutional Investors (FII)</b>	• Copy of SEBI registration certificate.
	• Authorized signatories list with specimen signatures.
<b>Army/ Government Bodies</b>	• Self-certification on letterhead.
	• Authorized signatories list with specimen signatures.
<b>Registered Society</b>	• Copy of Registration Certificate under Societies Registration Act.
	• List of Managing Committee members.
	• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.
	• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

### FOR OFFICE USE ONLY

UCC Code allotted to the Client:

Client ID

DP ID

Online trading software:  Yes  No

(If No) TT Dealer ID: \_\_\_\_\_ Trading Interface:  Trader Terminal

Sourcing Channel

Branch Code

Branch Name

Sourcing RM/ Sales Executive/ FAN Name (E1)

Sourcing RM/ Sales Executive/ FAN Code (E1)

Servicing RM/ Dealer/ FAN Name (E2)

Servicing RM/ Dealer/ FAN Code (E2)

Remiser (if any)

### FOR OFFICE PURPOSE ONLY

**CLIENT RISK CATEGORISATION UNDER PMLA:**  **LOW RISK**  **MEDIUM RISK**  **HIGH RISK**

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

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

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

Name of the Employee: \_\_\_\_\_

1 8

Signature of the Employee

Date

Seal/Stamp of IIFL

### KRA REGISTRATION DETAILS (FOR OFFICE PURPOSE ONLY)

**If Client is already registered with KRA please fill in below details:**

**NDML**  **CVL** *(Please tick (✓) any one)*

*(Please furnish photocopy of KRA Registration letter)*

**KRA Registration No.:** \_\_\_\_\_

**Date of Registration:**

PART-I - KNOW YOUR CLIENT APPLICATION FORM (KYC) - FOR NON-INDIVIDUAL

Please fill this form in ENGLISH & in BLOCK LETTERS with BLACK ink

A. IDENTITY DETAILS (Please see guidelines)

1. Name of Applicant (Please write complete name as per Certificate of Incorporation/ Registration; leaving one box blank between 2 words. Please do not abbreviate the Name).

Grid for Name of Applicant

2. Date of Incorporation (DDMMYYYY) Place of incorporation

3. Registration No. (e.g. CIN) Date of Commencement of Business (DDMMYYYY)

4. STATUS (Please tick (✓) any one) Private Limited Company Public Limited Company Body Corporate Partnership

Trust/ Charities/ NGO FI FII HUF AOP Bank Government Body Non-Government Organization

Defense Establishment BOI Society LLP Other (please specify)

5. PAN (MANDATORY) (Please enclose a duly attested copy of your PAN card)

B. ADDRESS DETAILS (Please see guidelines)

1. Address for Correspondence:

Grid for Address for Correspondence

City/ Town/ Village: PIN Code:

State: Country:

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

Mobile No.: Fax No.:

E-mail ID:

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

\*Latest Telephone Bill (only Land Line) \*Latest Electricity Bill \*Latest Bank A/c Statement/Passbook Registered Lease/Sale Agreement of Office Premises

Any other proof of address document (as listed overleaf) (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted (DDMMYYYY) Document No.

4. Registered Address: (If different from above)

Grid for Registered Address

City/ Town/ Village: PIN Code:

State: Country:

5. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

\*Latest Telephone Bill (only Land Line) \*Latest Electricity Bill \*Latest Bank A/c Statement/Passbook Registered Lease/Sale Agreement of Office Premises

Any other proof of address document (as listed overleaf) (Please specify)

\*Not more than 3 Months old. Validity/Expiry date of proof of address submitted (DDMMYYYY) Document No.

C. OTHER DETAILS (Please see guidelines)

1. GROSS ANNUAL INCOME DETAILS: (Please ✓) Below `1Lac `1-5Lac `5-10 Lac `10-25Lac `25Lac-1 Crore > `1 Crore

2. Networth in (Networth should not be older than one year) as on (DDMMYYYY)

3. Name, PAN, DIN/UID, residential address and photographs of Promoters/Partners/Karta/Trustees/whole time directors (Please use the Annexure to fill in the details)

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

5. Any other information:

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.

Place: Date: (DDMMYYYY)

NAME & SIGNATURE(S) OF AUTHORISED PERSON(S)

Signature area with date 35

FOR OFFICE USE ONLY

IPV Done on (DDMMYYYY)

India Infoline Limited Code: P2104 (Originals verified) Self certified Documents copies received. (Attested) True copies of Documents received.

Seal/Stamp of IIFL Staff Name Designation Signature Date

Seal/Stamp of IIFL Staff Name Designation Signature Date

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

Please fill this form in ENGLISH and in BLOCK LETTERS.

**A. IDENTITY DETAILS**

1. Name  First  Middle  Last

2. Father/Spouse Name  First  Middle  Last

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

4. a. Nationality:

b. Status:  Resident Individual  Non-resident  Foreign National  Others (Please specify) \_\_\_\_\_

5. a. PAN

b. Unique Identification Number (UID) / AADHAAR, if any

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

7. Relationship of Guardian with Minor \_\_\_\_\_ Date of Birth of Minor

**B. ADDRESS DETAILS**

**1. Address for Correspondence**

City/ Town/ Village  PIN Code

State  Country

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

Mobile

Fax

E-mail ID

**3. Specify the Proof of Address submitted for Correspondence Address** \_\_\_\_\_

Document No. \_\_\_\_\_

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

City/ Town/ Village  PIN Code

State  Country

**5. Specify the Proof of Address submitted for Permanent Address** \_\_\_\_\_

Document No. \_\_\_\_\_

**C. OTHER DETAILS**

**1) Gross Annual Income Details:** (Please specify)

a) Income Range per Annum:  Below 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  More than Rs.25,00,001 OR

b) Networth Rs. \_\_\_\_\_ as on            (Networth should not be older than one year)

**2) OCCUPATION DETAILS: (Please tick any one and give brief details):**

**Service:**  Private Sector  Public Sector  Govt. Service  Business  Professional  Agriculturist  Retired  
 Housewife  Student  Others (pls specify) \_\_\_\_\_

Nature of Business \_\_\_\_\_

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

**4) Any other information:** \_\_\_\_\_

**DECLARATION**

I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.

Signature of Sole/ First Holder  

Date

**FOR OFFICE USE ONLY**

IPV Done  on

India Infoline Limited Code: P2104 <input type="checkbox"/> (Originals verified) Self certified Documents copies received. <input type="checkbox"/> (Attested) True copies of Documents received.	Seal/Stamp of IIFL Staff Name Designation Signature Date	Seal/Stamp of IIFL Staff Name Designation Signature Date
--	--	--



## PART II - ACCOUNT OPENING FORM

**India Infoline Limited**, IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, MIDC, Thane Industrial Area, Wagle Estate, Thane - 400 604 **Tel.:** 022 - 3929 4000/ 4103 5000 **Fax:** 022 - 4103 5290

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

#### 1. DEPOSITORY ACCOUNT DETAILS

Depository Participant Name and Address   
  
 Depository Name   
 DP ID  BO Account Number:   
 Beneficiary Name

#### 2. TRADING PREFERENCE

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

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

##### NATIONAL STOCK EXCHANGE (NSE) SEGMENTS

Capital/Cash <input style="width: 150px; height: 20px;" type="text"/> 3/35	Derivatives/F&O <input style="width: 150px; height: 20px;" type="text"/> 4/35
Currency Derivatives <input style="width: 150px; height: 20px;" type="text"/> 5/35	MFSS <input style="width: 150px; height: 20px;" type="text"/> 6/35

##### BOMBAY STOCK EXCHANGE (BSE) SEGMENTS

Capital/Cash <input style="width: 150px; height: 20px;" type="text"/> 7/35	Derivatives/F&O <input style="width: 150px; height: 20px;" type="text"/> 8/35
Debt <input style="width: 150px; height: 20px;" type="text"/> 9/35	BSE StAR Mutual Fund <input style="width: 150px; height: 20px;" type="text"/> 10/35

##### MCX - STOCK EXCHANGE (MCX-SX) SEGMENTS

Currency Derivatives  11/35

##### USE SEGMENTS

Currency Derivatives  12/35

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

#### 3. PAST ACTIONS

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

Particulars	Name of Authority	Month & Year of Action

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

- Copy of ITR acknowledgement  Copy of annual accounts  Copy of Form 16  Networth certificate  
 salary slip  bank account statement for last 6 months  copy of demat account holding statement

#### 5. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

If client is dealing through the sub-broker, provide the following details:

Sub-broker's Name:

SEBI Registration number:

Registered office address:

Ph:  Fax:  Website:

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/ sub-brokers, provide details of all)

Name of stock broker:

Name of Sub-Broker, if any:

Client Code:  Exchange:

Details of disputes/ dues pending from/ to such stock broker/ sub- broker: \_\_\_\_\_

#### 6. ADDITIONAL DETAILS

- Whether you wish to receive:  physical contract note  Electronic Contract Note (ECN)  
Specify your Email id, if applicable:
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify):  Yes  No
- Number of years of Investment/ Trading Experience:
- Any other information: \_\_\_\_\_

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

- I/We wish to avail the SMS/Email alert facility offered by respective Exchanges showing details of my daily transactions executed through India Infoline Ltd. (IIFL) on my e-mail id/ mobile no. provided in KYC Form.  
 (The above facility is provided by Exchanges and will be activated once the details are verified by Exchanges and confirmed by you)

Client's signature   13/35

Login ID: 

DP ID: IN302269

Client ID (To be filled by IIFL) : 
**B. ADDITIONAL INFORMATION FOR DEMAT ACCOUNT** (Please fill this form in ENGLISH and in BLOCK LETTERS)

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

**1. DETAILS OF ACCOUNT HOLDER(S)**

	Name	PAN
Sole/ First Holder		<input type="text"/>
Second Holder		<input type="text"/>
Third Holder		<input type="text"/>

**2. TYPE OF ACCOUNT**

Body Corporate
  Qualified Foreign Investor
  Bank
  FI
  Mutual Fund
  CM
  FII
  Trust
  Others (Please specify) \_\_\_\_\_

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

a) Name  b) PAN

**4. STANDING INSTRUCTIONS (FOR DEMAT ACCOUNT)**

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

e. SMS ALERT FACILITY	<input type="checkbox"/> Yes <input type="checkbox"/> No	Mobile No. +91 <input type="text"/> Refer to Terms & Conditions given as <b>ANNEXURE</b>	<input type="checkbox"/> No
-----------------------	--	---	-----------------------------

SMS Alert Facility: (Mandatory if you are giving Power Of Attorney (POA). Ensure that the mobile number is provided in the KYC application form.)

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

**C. COMMON DETAILS FOR BOTH TRADING & DEMAT ACCOUNT**
**1. BANK ACCOUNT DETAILS (FOR TRADING AND DEMAT ACCOUNT)**

Bank Name   
 Branch Address   
 City  PIN Code   
 State  Country  Tel.   
 Bank A/c No.  MICR No.   
 A/c Type:  Savings  Current  Others - *in case of NRI/ NRE/ NRO (specify)*   
 IFSC Code


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

(A) RBI Approval Ref No.: \_\_\_\_\_ (B) RBI Approval Date   
 SEBI Registration No. (For FIIs): \_\_\_\_\_ SEBI Registration Date:   
 Currency \_\_\_\_\_  
 Foreign Address   
 City  Country   
 Tel.  Mobile  Fax   
 Website

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




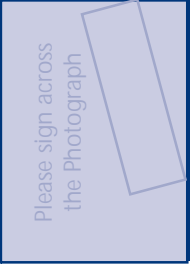

Name of the Stock Exchange   
 Name of the CC / CH   
 Trading ID  Clearing Member ID   
 SEBI Regd. No. \_\_\_\_\_ CM-BP ID (*to be filled-up by participant*)

**4. INTRODUCER'S DETAILS**

**Status of Introducer:** Sub-broker  Remisier  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

**DETAILS OF AUTHORISED SIGNATORY(S) FORMING PART OF KNOW YOUR CLIENT (KYC)**

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

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

Name & Signature of the Authorised Signatory(ies) \_\_\_\_\_

Date:

PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person

### DECLARATION

- |   |  |
|---|--|
| <p>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.</p> <p>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.</p> <p>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.</p> <p>4. I/We further confirm having received a hard copy of "Rights and Obligations", "Risk disclosure</p> | <p>Document", "Guidance Note" and "Policies and Procedures". I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of IIFL and also intimated to me through circulars in internet trading platform/e-mails. I/We shall keep myself updated of the same.</p> <p>5. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.</p> |
|---|--|

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

	NAME	SIGNATURE
AUTHORISED SIGNATORY		<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <div style="text-align: right; font-size: small;">15/35 </div>
AUTHORISED SIGNATORY		<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <div style="text-align: right; font-size: small;"></div>
AUTHORISED SIGNATORY		<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <div style="text-align: right; font-size: small;"></div>
AUTHORISED SIGNATORY		<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <div style="text-align: right; font-size: small;"></div>
AUTHORISED SIGNATORY		<div style="border: 1px solid #ccc; height: 30px; width: 100%;"></div> <div style="text-align: right; font-size: small;"></div>

 Date        

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

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

## TARIFF SHEET

## SCHEDULE OF BROKERAGE AND OTHER CHARGES

A/c opening charge		Rs. 750*
Depository Acct AMC	Onetime AMC Rs. 555/-	<input type="checkbox"/>
	Monthly AMC Rs. 25/-+ Service Tax	<input type="checkbox"/>
VAS Scheme (if any)		

\*750/- to be reversed against brokerage within 90 days of account opening

Broking Services		
BROKERAGE (CASH)	STANDARD RATE	QUOTED RATE
Intra-day	0.05%	
Delivery: (Normal) settlement	0.50%	
Exchange Trade for Trade and Z group scrip	0.75%	
BROKERAGE (FUTURES)	0.05%	
BROKERAGE (OPTIONS) Minimum	1% of Premium or Rs. 100/- per lot whichever is higher	
<b>MINIMUM PER SHARE BROKERAGE</b>	<b>Rs 0.05</b>	
AUCTION BROKERAGE	1.00%	
Liquid Bees		
Minimum Per Physical contract note		

VAS SMS Facility	
<input type="checkbox"/>	Rs 249 per month

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
<b>Pledge creation</b>	Rs. 50	Rs. 50
<b>Pledge closure</b>	--	--
<b>DEMAT</b>		
Per certificate	Rs. 15	Rs. 15
Postal charges per request	Rs. 40	Rs. 40
<b>REMAT</b>		
Per certificate	Rs. 15	Rs. 15
Postal charges per request	Rs. 40	Rs. 40
<b>Rejection/Failure</b>	Rs. 50	Rs. 50
per entry		

Remark : \_\_\_\_\_

**NOTES:**

- Customers will get Digital Contract Notes on their E-mail ID mentioned in the account opening form. Physical print copy of digital contract note can be availed from the branches.
- In case of Customer opting for Physical Documents options for receiving Contract Notes and other related 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.
- Client will be charged Rs. 250/- for process of closure of trading accounts.
- 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.
- Customer is required to maintain a minimum balance of Rs.1000/- in his/ her ledger account.
- 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.

Authorised Signatory  16  35Authorised Signatory  Authorised Signatory  Branch Official Name: \_\_\_\_\_ Branch Official Signature:  3  8

**TARIFF SHEET**
**SCHEDULE OF BROKERAGE AND OTHER CHARGES - CURRENCY SEGMENT**
**CURRENCY SEGMENT**

BROKERAGE	STANDARD RATE	QUOTED RATE
Brokerage (Futures)	Rs. 25 per lot	
Brokerage (Options)	Rs. 10 per lot	

**OTHER CHARGES**

STAMP DUTY - As applicable	Rs. 200/- per Crore
Service Tax - As applicable	10.30%
Regulatory Charges	Rs. 10/- Per 1 Crore

**CURRENCY DERIVATIVE (NSE) TRANSACTION CHARGES DETAILS**

Transaction Charges Future	Delivery/Intraday	0.0012%
Transaction Charges Option	Delivery/Intraday	0.0420%

**CURRENCY DERIVATIVE (MCX-SX) TRANSACTION CHARGES DETAILS**

Transaction Charges Future	Delivery0/Intraday	0.0011%
Protection Fund Trust		0.00005%

Remark : \_\_\_\_\_

**NOTES:**

- Customers will get Digital Contract Notes on their E-mail ID mentioned in the account opening form. Physical print copy of digital contract note can be availed from the branches.
- In case of Customer opting for Physical Documents options for receiving Contract Notes and other related 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.
- Client will be charged Rs. 250/- for process of closure of trading accounts.
- 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.
- Customer is required to maintain a minimum balance of Rs.1000/- in his/ her ledger account.
- 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.

 Authorised Signatory  17  35

 Authorised Signatory  

 Authorised Signatory  

 Branch Official Name: \_\_\_\_\_ Branch Official Signature:   4 8



**SECTION B - VOLUNTARY DOCUMENTS**

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

Login ID:

Client ID:

**DP - CLIENT AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING TO OPEN  
A BENEFICIAL OWNER'S ACCOUNT**

This agreement made and executed into at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_ between

1) \_\_\_\_\_ situated at \_\_\_\_\_  18/35 

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 furnished to the Depository Participant the duly filled in application form requesting therein to open an account with the Depository Participant.

NOW THEREFORE in consideration of the Depository Participant having agreed to open an account for the Client, both the parties to the agreement hereby covenant and agree as follows :

1. The Client shall pay such charges to the Depository Participant for the purpose of opening and maintaining his account, for carrying out the instructions of the Client and for rendering such other services as may be agreed to from time to time between the Depository Participant and the Client as set out in Schedule of Charges. The Depository Participant shall reserve the right to revise the charges by giving not less than thirty days notice in writing to the Client.
2. The Client shall have the right to get the securities which have been admitted on the Depository dematerialised

in the form and manner laid down under the Bye Laws and Business Rules. The Depository Participant further undertakes that it shall not create or permit to subsist any mortgage, charge or other encumbrance over all or any of such securities submitted for dematerialisation except on the instructions of the Client.

3. The Depository Participant hereby undertakes that it shall maintain a separate account of its own securities held in dematerialised form with the Depository and shall not commingle the same with the securities held in dematerialised form on behalf of the Client.
4. The Depository Participant undertakes that a transfer to and from the accounts of the Client shall be made only on the basis of an order, instruction, direction or mandate duly authorised by the Client and that the Depository Participant shall maintain adequate audit trail of such authorization.
5. The Depository Participant agrees that the Client may

*Continued on page 17*

- give standing instructions with regard to the crediting of securities in his account and the Depository Participant shall act according to such instructions.
6. The Depository Participant undertakes to provide a transaction statement including statement of accounts, if any, to the Client at monthly intervals unless the Depository Participant and the Client have agreed for provision of such statements at shorter intervals. However, if there is no transaction in the account, then the Depository Participant shall provide such statement to the Client at least once a quarter.
  7. The Depository Participant shall have the right to terminate this agreement, for any reasons whatsoever, provided the Depository Participant has given a notice in writing of not less than thirty days to the Client as well as to the Depository. Similarly, the Client shall have the right to terminate this agreement and close his account held with the Depository Participant, provided no charges are payable by him to the Depository Participant. In such an event, the Client shall specify whether the balances in its account should be transferred to another account of the Client held with another Depository Participant or to rematerialise the security balances held. Based on the instructions of the Client, the Depository Participant shall initiate the procedure for transferring such security balances or rematerialise such security balances within a period of thirty days, as per the procedure laid down in the Bye Laws and Business Rules. Provided further, termination of this agreement shall not affect the rights, liabilities and obligations of either party and shall continue to bind the parties to their satisfactory completion.
  8. On the failure of the Client to pay the charges as laid out in Clause (1) of this agreement within a period of thirty days from the date of demand Depository Participant may terminate this agreement and close the account of the Client by requiring it to specify whether the balances in its account be transferred to the account of the Client held with another Depository Participant or be rematerialised in the manner specified in the Bye Laws and Business Rules.
  9. The Client further agrees that in the event of the Client committing a default in the payment of any of the amounts provided in Clause (1) within a period of thirty days from the date of demand, without prejudice to the right of the Depository Participant to close the account of the Client, the Depository Participant may charge interest @ not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period of such default. In case the Client has failed to make the payment of any of the amounts as provided in Clause (1) of this agreement, the Depository Participant shall have the right to stop processing of instructions of the Client till such time he makes the payment along with interest, if any, after giving two days notice to the Client.
  10. The Depository Participant shall have a right to provide such information related to the Client's account as may be requested by the National Securities Depository Limited from time to time.
  11. The Client shall have the right to create a pledge of the securities held in the dematerialised form with the Depository Participant only in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.
  12. The Depository shall not be liable to the Client in any manner towards losses, liabilities and expenses arising from the claims of third parties and from taxes, and other governmental charges in respect of securities credited to the Clients account.
  13. The Client may exercise the right to freeze his account maintained with the Depository Participant so as to lock the securities held with the Depository Participant in accordance with the procedures prescribed in the Bye Laws and Business Rules.
  14. The Client may exercise the right to defreeze his account maintained with the Depository Participant in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules.
  15. The Client shall notify the Depository Participant, within seven days, of any change in the details set out in the application form submitted to the Depository Participant at the time of opening the account or furnished to the Depository Participant from time to time.
  16. The Depository Participant undertakes to resolve all legitimate grievances of the Client against the Depository Participant within a period of thirty days.
  17. The Depository Participant and the Client shall abide by the arbitration and conciliation procedure prescribed under the Bye Laws of National Securities Depository Limited and that such procedure shall be applicable to any disputes between the Depository Participant and the Client.
  18. The Depository Participant and the Client further agree that all claims, differences and disputes, arising out of or in relation to dealings on the Depository including any transactions made subject to the Bye Laws or Business Rules of the Depository or with reference to anything incidental thereto or in pursuance thereof or

Login ID:



relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of

whether such dealings, transactions have been entered into or not, shall be subject to the exclusive jurisdiction of the courts at Mumbai only.

**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:

19/35

**SOLE/ FIRST HOLDER**

(for and on behalf of the Client)

**SECOND HOLDER**

**THIRD HOLDER**

5/8

For INDIA INFOLINE LIMITED

(for and on behalf of the Depository Participant)

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 \_\_\_\_\_ 20 / 35 

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:

- i. The Depository Participant shall install adequate systems to restrict the access of the transaction statement only to the Client.
- ii. The Client shall take all the necessary steps to ensure confidentiality and secrecy of the log-in name and password.
- iii. 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.
- iv. 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.
- v. 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.
- vi. 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.

- vii. 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 NSDL.
- viii. 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.
- ix. 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)**

\_\_\_\_\_ 6 / 8   
 (for and on behalf of the Depository Participant)

<p><b>SIGNED AND DELIVERED BY</b></p> <p>_____ <span style="float: right;">21 / 35 </span></p> <p align="center"><b>SOLE/FIRST HOLDER</b></p> <p>(for and on behalf of the Client)</p>	<p>_____ </p> <p align="center"><b>SECOND HOLDER</b></p>	<p>_____ </p> <p align="center"><b>THIRD HOLDER</b></p>
---	--	--

**DETAILS OF THE CLIENT'S WITNESS**

<p>Witness 1</p> <p>Name _____</p> <p>Address _____</p> <p>_____</p> <p>Signature _____ </p>	<p>Witness 2</p> <p>Name _____</p> <p>Address _____</p> <p>_____</p> <p>Signature _____ </p>
---	---

**Voluntary and Limited purpose POA in favour of Broker for operational requirements as per client authorization/ instruction.**

**POWER OF ATTORNEY**

**POWER OF ATTORNEY IN FAVOUR OF INDIA INFOLINE LIMITED**

This Power of Attorney (POA) is made by the persons mentioned in the Schedule 1 in favour of "INDIA INFOLINE LIMITED", a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at IIFL House, Sun Infotech Park, Road No. 16V, Plot No.B-23, Thane Industrial Area, Wagle Estate, Thane - 400 604 and Central Processing and Record keeping office at India Infoline Tower, No.143, M.G.R. Road, 3rd Floor, Central Processing Unit (CPU), Perungudi, Near Life Line Hospital, Chennai - 600 096 (hereinafter referred to as 'IIFL', an expression deemed to mean and include its successors and assigns)

WHEREAS India Infoline Limited is a member of the National Stock Exchange of India Limited ("NSE") (bearing SEBI registration nos. INB231097537, INF231097537 & INE23109753 on the Capital Market Segment, Futures & Options Segment and Currency Derivatives Segment respectively), Bombay Stock Exchange Limited ("BSE") (bearing SEBI registration nos. INB011097533 and INF011097533 on the Cash Market Segment and Derivatives Segment), MCX Stock Exchange Limited (bearing SEBI registration no. INE261097537 on Currency Derivatives Segment) and United Stock Exchange Limited (bearing SEBI Registration Number INE271097532 on Currency Derivatives Segment).

AND WHEREAS India Infoline Limited is a Depository Participant with the National Securities Depository Limited (hereinafter referred to as "NSDL") having SEBI registration number IN-DP-NSDL- 185-2000 and with Central Depository Services (India) Limited (CDSL) having SEBI registration number IN-DP-CDSL-352-2006.

AND WHEREAS India Infoline Limited is registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Registration no. ARN47791.

AND WHEREAS I/ We wish to avail / I/We am/ are a client availing of the services offered by IIFL and has entered into necessary documents/ agreement(s) ("Client Agreements") with IIFL for transacting in securities with/ without On-Line trading/ E-broking & web based facilities and/ or services

through its website [www.indiainfoline.com](http://www.indiainfoline.com) or any other website used for offering said Services. Details of my/ our Trading and Demat account with IIFL are provided in Schedule 1 AND WHEREAS for facilitating smooth operations of the said services being availed from IIFL by me/ us, I/ We am/ are desirous of appointing an attorney and confer upon it powers hereinafter stated.

NOW THESE PRESENTS WITNESS that I/ We, do hereby, jointly and severally nominate, constitute and appoint "India Infoline Limited" being a Stock Broker and Depository Participant registered with Securities and Exchange Board of India ("SEBI") acting through any of its directors, officers and/ or agents, as my/ our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me/ us, in my/ our name and on my/ our behalf and at my/ our risk and costs to do, exercise and perform all or any of the following acts, deeds and things:

1. To instruct the Depository Participant, being IIFL to transfer securities held in my/our beneficial owner/demat account as provided in Schedule 2 or such other demat account as may be intimated by me/us to IIFL from time to time ("client designated demat accounts") to such demat account of IIFL as provided in Schedule 2 and/ or designated by IIFL and intimated to me from time to time ("IIFL designated demat account") towards stock exchange related margin/ delivery obligations arising out of trades executed by me/ us through IIFL on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
2. To make application and/ or issue instruction for creation/ invocation/ closure of pledge on the securities/ units held in my/ our client designated demat accounts in favour of IIFL for the limited purpose of meeting the margin requirements in connection with the trades executed by me/ us through IIFL on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.

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

*Continued on page 22*

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

connectivity or rejection of my/ our application for any reason whatsoever.

28. My/ our Attorney IIFL shall not be liable for any transaction processed on the basis of information provided by IIFL to the issuers/ owners of securities or investment products in the applications or otherwise based on the information provided by me/ us.

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

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

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

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

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

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

India Infoline Tower, No.143, M.G.R. Road, 3rd Floor, Central Processing Unit (CPU), Perungudi, Near Life Line Hospital, Chennai - 600 096

The revocation shall be subject to due receipt, verification and processing of the same by IIFL.

I/ We hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other charges & expenses till the date of revocation due to the Attorney as per its records are paid/ cleared in full.

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

MADE and executed at Mumbai on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_



**SCHEDULE 1**

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

**SCHEDULE 2**

Client Designated Demat Account Nos.

---



---



---

**IIFL Designated Demat Account Nos:**

DP Name: **INDIA INFOLINE LIMITED**

DPID: 12044700	DPID: IN302269
00000044	12180091
00000063	12144461
00000078	10000005
00000103	10000013
00000059	
00000082	

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

Signed and Delivered by  
 22 35  
**Authorised Signatory**  
 (for and on behalf of the Client)

**Authorised Signatory**

**Authorised Signatory**

**CLIENT'S WITNESS FOR POWER OF ATTORNEY**

Witness 1

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature

Witness 2

Name \_\_\_\_\_

Address \_\_\_\_\_

Signature

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

**For India Infoline Limited**

7 8

Authorised Signatory

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



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

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

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







#### BO ACCOUNT DETAILS:

**DP ID:** IN302269                      **Client ID:** \_\_\_\_\_                      **Login 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.					<input style="width: 100%; height: 20px;" type="text"/> 
2.					<input style="width: 100%; height: 20px;" type="text"/> 
3.					<input style="width: 100%; height: 20px;" type="text"/> 
4.					<input style="width: 100%; height: 20px;" type="text"/> 
5.					<input style="width: 100%; height: 20px;" type="text"/> 
6.					<input style="width: 100%; height: 20px;" type="text"/> 

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

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

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

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

(\* Registration for receiving SMS alerts from NSDL 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 National Security Depository Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 4th Floor, 'A' Wing, Trade World, Kamala Mill Compound, Senapati Bapat Marg, Mumbai 400 013 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of NSDL. 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 NSDL 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 NSDL at [relations@nsdl.co.in](mailto:relations@nsdl.co.in). 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.
- 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.
  - If the BO finds that the information such as mobile number etc., has been changed with out 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 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 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 NSDL 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).

BO ID         DP ID         Client ID          
 (Please write your 8 digit)

Authorised Signatory Name \_\_\_\_\_ First Middle Last

Authorised Signatory Name \_\_\_\_\_ First Middle Last

Authorised Signatory Name \_\_\_\_\_ First Middle Last




Mobile Number on which messages are to be sent + 9 1 - \_\_\_\_\_

(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"/> 	<input type="text"/> 	<input type="text"/> 

Place \_\_\_\_\_

Date

### AVAILING OF RESEARCH SMS FACILITY

#### Subscription by client for research 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 RESEARCH 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**

24  35

### AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

#### Required for issuance of Contract Notes, 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 digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/ bills/ other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id).  
E-mail Id \_\_\_\_\_

I/We further hereby agree that the 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,

**AUTHORISED SIGNATORY**

25  35

## RUNNING ACCOUNT AUTHORISATION

### Authorisation to India Infoline Limited

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

be considered as margin for the any segments of any Exchanges.

- h) I/We understand that this authorization shall remain valid until revoked by me/us. I/we undertake to clear all my dues arising during the validity of this authorization else the member shall recover all my/our dues in my/our ledger till date.
- i) I also note that I may revoke the authorisation at any time by giving you written notice at least seven days in advance to your office. I also undertake to clear all my dues to you before serving revocation of this authorisation else the member will recover all my dues in my ledger till date and then effect the revocation.
- j) I also undertake to bring any dispute arising from Statement of accounts or settlement so made to your notice within seven working days from the date of receipt of funds/securities or Statement as the case may be.

I /We further wish to have settlement of my account (funds and securities):- (✓ *Tick any one option*)

Once in Quarter       Once in Month

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

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

Name \_\_\_\_\_

Login ID \_\_\_\_\_ Date \_\_\_\_\_

 26/35

**AUTHORISED SIGNATORY**

**AUTHORIZATION FOR CONSIDERING OF BALANCE TOWARDS FAMILY/GROUP ACCOUNTS POSITIONS**

**Is your account part of a family of accounts? If yes, please mention all Client ID & name of the family members**

For the purpose of this clause "Family/ Group" shall mean all the Family/ Group individuals, relatives, HUF, group companies/ associate companies/ firm/ entities and such other persons.

I hereby confirm that my Family/ Group members detailed below will/ have trading accounts with India Infoline Limited (IIFL) on BSE/ NSE in Cash and Derivatives segment. In order to facilitate the smooth operations of my account and these accounts with regard to payment of margins (Cash & Collaterals) pay in and payout of Funds and Securities. I hereby authorize you to consider the outstanding in any of these accounts against credits/ securities available or arising in my account within the

period of settlement of my account (Securities & Funds) as opted by me under Section A.

I hereby undertake to intimate you from time to time about any additions or deletion of details of my Family/ Group member accounts held with IIFL under this authorisation. I agree that any deletion shall take effect only after the completion of settlement in accounts of the clients belonging to family.

I have affixed my signature below consenting to consider the outstanding in below mentioned Family/ Group accounts held with IIFL to be adjusted against credit/ securities in my account as per the aforesaid terms of adjustment.

Sr.No.	Name of the person	Relationship with Account holder	Signature	Client Code
1.			<input type="text"/>	
2.			<input type="text"/>	
3.			<input type="text"/>	
4.			<input type="text"/>	

**AUTHORISED SIGNATORY**

27 

Name of the Client \_\_\_\_\_ Client Code \_\_\_\_\_

**AUTHORISATION TO SEND PASSWORD BY SMS**

Please send my system-generated, internet account first time as well as subsequent, Password on the following mobile numbers.

Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number. As soon as I receive the system-generated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher for anybody else and should be preferably alpha-numeric and not my or any family member's name/ surname. I also confirm that the above mobile number shall be updated in all your records and databases including trading and demat account.

1. I declare that the above is my personal mobile number and is always in my safe custody. I shall keep IIFL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, IIFL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
2. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the IIFL immediately and request for re-setting of my Password.
3. I am fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/ misuse of the Password. I understand IIFL will not be responsible or liable in any manner whatsoever for the same.
4. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs alongwith my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.

**AUTHORISED SIGNATORY**

28 

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

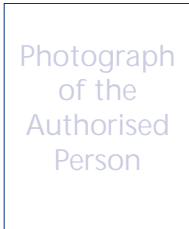
Client Code \_\_\_\_\_

**AUTHORISATION TO PLACE INSTRUCTIONS AND RECEIPT OF DOCUMENTS**

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

**Dear Sir/ Madam,**

For a smooth and convenient operation of my account, besides my instruction, I also hereby authorize the following person to place/give instructions to IIFL for trade, request payouts, receive and acknowledge all documents including Contract notes, Statement of accounts, holding statements, quarterly statements etc. in my account. I/We shall be responsible for all the instructions/acts and consequences thereof of the person(s) authorised by me. I/We hereby declare and confirm that I will not make IIFL responsible or liable for any acts done based on the instructions of the following authorised person(s):



Name of the Authorised Person \_\_\_\_\_

Relationship with Client (Friend/ Family Member/ Consultant/ CA Advisor) \_\_\_\_\_

Address of the Authorized Person (Proofs required) \_\_\_\_\_

Contact No./ Mobile Number of the Authorised Person \_\_\_\_\_

PAN Number of the Authorised Person \_\_\_\_\_

Does authorised person have a trading account with us? Yes  / No

If yes, please mention the Client ID. \_\_\_\_\_

Signature of the Authorised Person  

**NOTE:** 1. Kindly note that authorization should not be issued in favour of any employee or official of IIFL or its group companies/ Sub-broker/ Franchisee. 2. The above authorization is given by the client voluntarily. 3. The above authorization would be valid and binding on the client until withdrawn by the client in writing and acknowledged by IIFL.

Name & address of account holder \_\_\_\_\_

Login ID of the client \_\_\_\_\_

29  35

**Authorised Signatory**

**DETAILS OF WITNESS:**

	WITNESS 1	WITNESS 2
<b>NAME, ADDRESS AND SIGNATURE</b>	<input type="text"/> 	<input type="text"/> 

DATE

PLACE \_\_\_\_\_

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,

\_\_\_\_\_  
30 35

**Authorised Signatory**

\_\_\_\_\_

**Authorised Signatory**

\_\_\_\_\_

**Authorised Signatory**

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

*Continued on page 33*

- services to the Client and the Client agrees and 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.

 31  35

**Authorised Signatory**

## 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: \_\_\_\_\_

 32  35

Authorised Signatory

**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:**

1. 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.
2. 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.
3. The above charges are exclusive of the service tax, securities transaction tax, regulatory charges & stamp duties.
4. 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.
5. Value of transactions will be in accordance with NAV of the scheme as provided by respective AMCs.
6. Charges quoted above are for services listed. Any service not quoted above would be charged separately.
7. 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.

**Authorised Signatory**

\_\_\_\_\_ 33  35

**Authorised Signatory**

\_\_\_\_\_ 

**Authorised Signatory**

\_\_\_\_\_ 

✂  
TEAR HERE

**ACKNOWLEDGEMENT RECEIPT FOR CLIENT**

**India Infoline Limited - DP ID: IN302269**

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 Login ID, DP ID & CLIENT ID allotted to you in all your future correspondence.

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

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

Participant Stamp & Signature

## CONDITIONS GOVERNING TRADING IN SECURITIES OTHER THAN ON THE FLOOR OF THE STOCK EXCHANGE

The Stock broker is also engaged in marketing and distribution of IPOs of Securities of Issuers and registered with the Association of Mutual Funds in India (AMFI) as a Mutual Fund Distributor. The Stock broker is providing a facility through its ONLINE services to apply/purchase/redeem/sale/ buyback or otherwise deal in the units of Mutual Funds and securities (hereinafter referred to as 'transactions') through its website (located at url <http://www.indiaonline.com> and such other internet sites that the stock broker may launch).

The Client wishes to avail of the facility of the said transactions and such other facilities offered through the stock broker's website on the following terms and conditions set forth herein below. The terms and conditions contained herein are binding on the client. The client has agreed to obtain services from the Stock Broker after fully understanding the terms and conditions. The terms and conditions shall be subject to modification from time to time and such modifications are binding on the client. For the purpose of this Agreement, National Stock Exchange of India Limited and the Bombay Stock Exchange Limited shall be known as the Stock Exchanges.

- 1) The client shall authorize the stock broker by executing a Power of Attorney in the favour of the stock broker to execute instructions of the client or its authorized representative with regard to the transactions including but not limited to acquire by subscribing to or by purchase of securities and to sell, transfer, endorse the securities (including but not limited to Initial Public Offerings, Buy back offers, right issues etc.) or redeem the same either through Internet (using the identification number issued by any Mutual Fund from time to time) or otherwise and/or to sign and execute all transfer deeds whether as transferor or transferee and such other instruments, application and papers as may be necessary for the purpose of acquiring, transferring/redeeming the same, marking pledge/ lien on such securities and/or for transferring the investments in the units of Mutual Fund from one scheme to another or between mutual Funds, to make application for, or to renounce and sign renunciation forms in respect of bonds/ debentures, right shares and additional shares of any company/ Body/ Authority and to receive and hold such rights or additional shares, bonds or debentures.
- 2) All instructions given by the client/ its authorized representative shall be binding on the client. The stock broker may furnish a certified copy of the Power of Attorney and other documents on behalf of the client to the Company/ Registrar/ Mutual Fund or any third party.
- 3) The client agrees that the instructions with regard to the transactions may be in the client's sole name or in the name of the client jointly with other persons.
- 4) The instructions with regard to the transactions may be given through internet or telephone or any other reasonable mode as permitted by the stock broker.
- 5) The stock broker may refuse to act on any instructions unless they are given in the manner and form acceptable to the stock broker. However, the

stock broker shall have no responsibility to determine the authenticity of any instructions given or purported to be given by the client. The client shall not hold the stock broker liable on account of the stock broker acting in good faith on instructions given by the client or its authorized representative.

- 6) The stock broker may at its discretion not carry out the client's instruction where the stock broker has reasons to believe (which discretion of the stock broker the client shall not question or dispute) that the instructions are not genuine or are otherwise improper/ unclear/ raise a doubt. The stock broker shall not be liable if any instructions are not carried/ partly carried out for any reason, whatsoever.
- 7) The client understands and agrees the mutual fund/ RTA/ Issuer Company may cancel, close or reject any contract suo-moto without giving any reason thereof. In the event of such cancellation, closure or rejection, the stock broker shall be entitled to cancel relative contract(s) with Client.
- 8) The client understands and agrees that the Stock Exchange may cancel, close or reject any trade suomoto without giving any reason thereof. In the event of such cancellation, closure or rejection, the stock broker shall be entitled to cancel relative contract(s) with Client.
- 9) In case of Mutual Funds, the client agrees and acknowledges that the stock broker shall provide the facilities as provided in this agreement only in respect of the select Mutual Funds, with whom the stock broker has entered into a separate arrangement/ agreement.
- 10) The client undertakes to read all the relevant Offer Documents and addendums thereto and terms and conditions of all schemes of all mutual funds and other issues of securities including but not limited to Initial Public Offerings/ Public Offers, Rights issue and Buy Back offers, offered through stock broker's website; before entering into any transactions through the website and agrees to abide by the terms, conditions, rules and regulations as applicable from time to time.
- 11) The client shall ensure that the transactions through the stock broker are executed in accordance with the applicable laws, byelaws, rules and regulations governing the specific investment product. The stock broker may, from time to time, impose and vary limits on the orders which the client may place, including but not limited to exposure limits, turnover limits and limits as to numbers. The client agrees that the broker shall not be responsible for any variation or reduction that may be deemed necessary by the stock broker based on its risk perception and other relevant factors.
- 12) The stock broker shall not be under any duty to verify compliance with any restriction on the client's investment powers.
- 13) The client is responsible for the personal and bank related details provided by the client. Neither the

*Continued on page 37*

stock broker nor any of the Mutual Funds/ Issuers or their respective Registrars shall accept any liability which may arise as a consequence of the erroneous information provided by the client.

- 14) The client agrees that the stock broker is entitled to disclose to a third party, all such information pertaining to the Client as may be required from time to time, for the client to be able to avail of any or all of the services provided by the stock broker under this agreement.
- 15) In case of change of address and personal details of the client, the client shall send a letter duly signed by all the holders of the demat account to the stock broker giving intimation of the change.
- 16) The client agrees and understands that the folio number of the client in respect of the Mutual Fund schemes shall be received by the stock broker from the Asset Management Company.
- 17) The Client agrees that the client shall not, without prior intimation and acknowledgement of the stock broker, deal/ liaise with the Issuer Company/ Mutual Fund/ Asset Management Company or its respective Registrars in respect of the services availed under this agreement.
- 18) Further, any change in the details of the client including but not limited to the Demat account, Bank Account, Address, shall be first intimated to the stock broker who may in turn liaise with the Issuer Company/ Mutual Fund/ Asset Management Company or its respective Registrars to update such changes. The Issuer Company/ Mutual Fund/ Asset Management Company or its respective Registrars may reject such requests and in such an event the stock broker shall not be liable for any such rejection.
- 19) The client further agrees that the client shall not close/ change the details of the Demat account/ Bank account without prior notification to the Stock broker and the Client agrees that the stock broker may instruct the Depository Participant/ Bank of the Client to reject any such request received from the Client.
- 20) The Client shall provide the stock broker with its Permanent Account Number (PAN). In the event the Client has mentioned "Not Applicable" against PAN in the Application Form, the client confirms that the client is exempted from obtaining a PAN under the provisions of the Income Tax Act, 1961.  
However, in the event the client's bid /application is for Rs. 50,000 or more and PAN is not provided, the client shall be required to submit Form 60 or Form 61 as the case may be together with permissible documents as proof of address.
- 21) The client acknowledges that the purchase/ application instructions shall be processed by the stock broker only after sufficient funds to cover the purchase/ application price and other costs and charges are received by the stock broker.
- 22) If after execution of any transaction it is for any reason found that the stock broker has not been provided with sufficient funds by the client, the client shall pay the deficient amount to the stock broker forthwith on demand, failing which the stock broker may (but shall

not be bound to) square up the transaction at any time at the client's sole risk and cost. Any loss arising on such squaring up will be borne solely by the client and the client shall pay to the stock broker the additional amount that may be payable by the client, the stock broker's demand being conclusive.

- 23) The client declares and confirms that the amount being invested by the client either directly or through its Power of Attorney holders, in any schemes of all mutual funds or other securities including but not limited to Initial Public Offerings/ Public Offers, Rights issue and Buy Back offers is obtained through legitimate sources and is not held or designed for the purpose of contravention of the provisions of any Act, Rules and Regulations or any statute or legislation or any other applicable Laws or any Notifications, directions issued by any Governmental or Statutory Authority from time to time.
- 24) In case the client is a Non-resident Indian, the client confirms that the funds are remitted from abroad through approved banking channels or from the NRE/ NRO/ FCNR account.
- 25) If for any reasons, the stock broker is unable to carry out the transactions as instructed by the client/ Client's authorised representative to the extent of full quantity of units/ securities, the stock broker shall be entitled at its discretion and the client hereby irrevocably authorizes the stock broker to carry out a transaction of a lesser quantity of units/ securities. The stock broker shall not be responsible for the non-execution of the client's instructions for the entire quantity or the remaining quantity.
- 26) The client agrees and acknowledges that any instruction given or purported to be given by the client/ its authorized representative before the cut off time as may be intimated by the stock broker to the client from time to time, will be processed on the same day. Any instruction received after the cut off time will be processed on the next working day, if applicable.
- 27) In case of Mutual Fund, applicable Net Asset Value (NAV) shall be as per the Offer Document and SEBI Rules and Regulations. The units of scheme shall be allotted, redeemed or switched, as the case may be, at the NAV prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut-off time as specified on the website and consistent with the terms of the scheme. Any request falling due on holiday would be processed on the next business day and respective NAV would be applicable as per Mutual Funds offer documents.
- 28) In case of other securities, the order for purchase, sell, offer under Buy Back etc. shall be accepted by the Stock Broker only if the same is received by the cut off date as indicated on the website and consistent with the terms of the offer.
- 29) The client agrees and acknowledges that after the first purchase transaction in any Mutual Fund, the client may not be permitted to transact till the folio

*Continued on page 38*

- number is allotted. The stock broker does not accept any liability for delay in processing time at the Mutual Fund's or Registrar's end.
- 30) The stock broker shall credit the proceeds of the sale/redemption etc., if received by the stock broker, any of the Investment Products only after the stock broker has received the same unless specifically agreed otherwise.
- 31) The Client acknowledges that the stock broker shall not be under any obligation to provide him with any tax, legal, accounting, investment advice or advice regarding the suitability or profitability of investment of any kind, nor does the stock broker, give any advice or offer any opinion with respect to the nature, potential value or suitability of any particular transaction or investment strategy.
- 32) It is explicitly stated herein that the Mutual Fund Schemes/ Offer Documents/ other schemes offered by the stock broker, have not been/ shall not be understood as recommended by the stock broker.
- 33) The client can view his/ her/ its transactions on the website. A physical copy of the transactions statement or the account statement shall be sent by the stock broker only on a written request from the client.
- 34) In case an application is made for Initial Public Offer/ Public Offer/ Units of Mutual Fund through the stock broker, the client authorizes the stock broker to collect on client's behalf, the refund amount, if any, from the Issuer Company/ Registrar/ Asset Management Company/ Mutual Fund and subsequently credit the same to client's Bank account, after set-off/ adjustment of dues payable by the Client on account of obligations incurred in connection with the application.
- 35) The client further agrees that the stock broker shall not be held responsible for non-allotment of securities either fully or partly to the client, for any reason whatsoever. The stock broker shall not be held responsible in case due to some reason the bid/ application/ revision instructions sent by the client is not received by it, or if the bid / application/ revision could not be uploaded to the Stock Exchange, or could not be sent to the Bankers/ Registrar to the issue.
- 36) The stock broker shall not be held responsible for non – receipt/ delay in/ incorrect receipt of fund, if any, from the Registrar/ Company. The stock broker shall not be held responsible for incorrect Tax Deduction at Source (TDS) by the Registrar/ company, if applicable, or for non-receipt or delay in/ incorrect receipt of TDS Certificate, if any from the Registrar/ Company/ Mutual Fund.
- 37) The stock broker shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any sold though they may have been delivered.
- 38) The client understands that the corporate actions including but not limited to Dividends, declared by the Issuer Company/ Mutual Fund shall be directly paid by the Issuer Company/ Mutual Fund to the client.
- 39) The stock broker shall also not be liable to the client for any delay, failure or refusal of the Mutual Fund/ any Issuer Company/ Corporation or other body in registering or transferring units to the names of the clients of for any interest, dividend or other loss caused to the client arising therefrom.
- 40) The client agrees to provide the stock broker with any confirmation/ declaration or any other document that the concerned Issuer/ Asset Management Company or any other entity may from time to time require the stock broker to collect from the client in respect of the services offered under this agreement.
- 41) The stock broker shall not be responsible for any changes in the data of any scheme as carried out in the Offer document or any other documents/ material issued by Asset Management company/ Issuer Company/ Mutual Fund.
- 42) The stock broker does not accept any liability for delay in processing time at the Mutual Fund's/ Issuer or Registrar's end. The client agrees that the stock broker shall not be liable or responsible for not executing any transactions for any reason, whatsoever.
- 43) Neither the stock broker, nor any of the Mutual Funds/ nor the issuer shall be liable for any failure to perform its obligations, to the extent that such performance had been delayed, hindered or prevented by systems failures network errors, delay or loss of data due to the aforesaid, acts of God, floods, epidemics, quarantine, riot or civil commotion and war.
- 44) The client agrees and understands that the application in Mutual Fund/ Initial Public Offering shall be subject to the applicable Acts, Rules, Regulations, guidelines, circulars, notifications, and directives issued by the Regulatory Authorities and Offer Document issued by the respective Mutual Fund/ Issuer.
- 45) The client further understands and agrees that he/ she shall not place trades at unrealistic prices from current market price of the security or trade in illiquid securities which create artificial liquidity or amounts to manipulation of prices or cross/ synchronized trades.
- 46) The stock broker shall provide its services on a best efforts basis. However in respect of mutual funds, other securities, including but not limited to Initial Public Offering, Rights issue, Buy Back Offers offered through its website the stock broker shall not be liable for any failure or for any loss, damage or other costs arising in any way out of:
- System failure including failure of ancillary or associated systems, or fluctuation of power, or other acts of God/force majeure;
  - Accident, transportation, neglect, misuse, errors, frauds on the part of the client or any agent of the Client or agents or any third party, or
  - Any fault in any attachments or associated equipments of the client
  - Any incidental, special or consequential damages including without limitation of loss of profit.



ONLY FOR THE ACCOUNTS SOURCED BY SUB BROKERS/ AUTHORISED PERSONS

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

Client ID: \_\_\_\_\_

Login ID: \_\_\_\_\_

SUB BROKER/ AUTHORISED PERSONS DETAILS

Sub broker's/ Authorised Person's Code : \_\_\_\_\_

Sub broker's/ Authorised Person's Name : \_\_\_\_\_

Sub broker's/ Authorised Person's Address : \_\_\_\_\_

\_\_\_\_\_ Pincode : \_\_\_\_\_

Sub Broker/ Authorised Person's Signature :  

Client's Signature :   35

FORM CHECKED BY

Name of Sub Broker/ Authorised Person : \_\_\_\_\_

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

Signature :  

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

\_\_\_\_\_ Pincode : \_\_\_\_\_

Name of the Employee of HO : \_\_\_\_\_

Employee Code : \_\_\_\_\_




Signature :   8



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

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

"RESOLVED THAT the Company be and is hereby authorised to open a Trading and Demat account with India Infoline Limited ("IIFL"), Member of Bombay Stock Exchange Limited (BSE), National Stock Exchange of India Limited (NSE), MCX Stock Exchange Ltd. (MCX), United Stock Exchange Limited (USE) and Depository Participant of National Securities Depository Limited (NSDL) and Central Depository Services (India) Limited (CDSL) for purpose of trading in Securities at BSE & NSE and opening Demat account with the said member to trade in Capital/Cash, Derivatives/F&O, Debt & Currency Derivative segment and the said Member be and is hereby authorized to honor instructions oral or written, given on behalf of the Company by any of the following authorized signatories:

Sr. No.	Name	Designation	Specimen Signature
1.			<input type="text"/> 
2.			<input type="text"/> 
3.			<input type="text"/> 

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

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

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

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

For \_\_\_\_\_

**Managing Director/ Company Secretary**

**FORMAT FOR BANK VERIFICATION LETTER**

To,  
**INDIA INFOLINE LTD.**  
 Mumbai.

Date:

Dear Sir,

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

**Authorised Signatory**  

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

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

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

Put Bank stamp  
 across photograph

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

Date: [D][D][M][M][Y][Y][Y][Y]

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
	<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 
	<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 
	<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 
	<div style="border: 1px solid black; height: 30px; width: 100%;"></div> 

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

**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.

**INITIAL MARGIN**

Initial Margin	<b>FUNDS:</b> Bank Name: _____ Cheque No.: _____ Amount Rs.: _____ FD Details: _____	Securities: Expected value: _____ Details: _____ _____
----------------	--	---

**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: \_\_\_\_\_

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



---

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) 3929 4000/ 4103 5000 Fax: (91-22) 4103 5290

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, USESEBI Registration (Currency Derivatives) INE 271097532,  
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)

**KRA Version: 1.0/April/2012**