Form No.	:	Religare Securities Limited
Client Code	:	

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



to



## Benefits of trading with RSL

Enjoy convenience of pla	acing an order thro	ough	
Mobile Application	Web Portal	Phone Call	Application Based Trading

Unique trading ideas through our automated technical analysis tool "Tech Scan".

Search stock picks based on strong company fundamentals through our analysis tool "Star Ratings".

A next generation Derivatives trading experience through real time price analytics and trading platform "PowerFnO".



		FOR	OFFICE USE C	NLY	
Branch Code		Deposito	ry Normal	Bandhan	Bandhan Green BIMA
Client Code Allo	otted Equity		Depository		
Initial Cheque I	Details				
Cheque No.		Date D D M N	A Y Y Y Y	Amount	
Drawn on					
		Name		Employee Code	Signature
Introducer					
RM					
Dealer 1					
Dealer 2					

## **ACCOUNT OPENING KIT**

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7.	Request for Trade Alerts through		
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<ul><li>8.</li><li>9.</li><li>10.</li></ul>	Request for Trade Alerts through SMS and/or E-mail  Authorization For Sharing Personal Information  Authority Letter to Pledge the shares/securities  Verbal Order Acceptance	Document requesting trade alerts through SMS &/or Email from Exchanges.  Document authorizing stock broker to share personal information to receive offers and information on various products/services etc.  Document authorizing stock broker to pledge clients shares/securities lying towards margin / collateral.  Document authorizing Stock Broker/Trading Member to accept verbal orders	20-2
<ul><li>8.</li><li>9.</li><li>10.</li><li>11.</li></ul>	Request for Trade Alerts through SMS and/or E-mail Authorization For Sharing Personal Information Authority Letter to Pledge the shares/securities Verbal Order Acceptance Authorisation	Document requesting trade alerts through SMS &/or Email from Exchanges.  Document authorizing stock broker to share personal information to receive offers and information on various products/services etc.  Document authorizing stock broker to pledge clients shares/securities lying towards margin / collateral.  Document authorizing Stock Broker/Trading Member to accept verbal orders in the manner mentioned therein.  Document authorizing Stock Broker/Trading Member to maintain the running	20-2
8. 9. 10. 11.	Request for Trade Alerts through SMS and/or E-mail Authorization For Sharing Personal Information Authority Letter to Pledge the shares/securities Verbal Order Acceptance Authorisation Running Account Authorisation Letter of Authority Limited Purpose Power of Attorney	Document requesting trade alerts through SMS &/or Email from Exchanges.  Document authorizing stock broker to share personal information to receive offers and information on various products/services etc.  Document authorizing stock broker to pledge clients shares/securities lying towards margin / collateral.  Document authorizing Stock Broker/Trading Member to accept verbal orders in the manner mentioned therein.  Document authorizing Stock Broker/Trading Member to maintain the running account of funds and securities in the manner mentioned therein.  Authorisation for accepting instructions from third person.  Document authorizing stock broker to operate client demat account towards trading obligations.	22
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<ul><li>8.</li><li>9.</li><li>10.</li></ul>	Request for Trade Alerts through SMS and/or E-mail Authorization For Sharing Personal Information Authority Letter to Pledge the shares/securities Verbal Order Acceptance Authorisation Running Account Authorisation Letter of Authority Limited Purpose Power of Attorney ECS Form (to be submitted with banker) Voluntary Additional Terms & Conditions for availing	Document requesting trade alerts through SMS &/or Email from Exchanges.  Document authorizing stock broker to share personal information to receive offers and information on various products/services etc.  Document authorizing stock broker to pledge clients shares/securities lying towards margin / collateral.  Document authorizing Stock Broker/Trading Member to accept verbal orders in the manner mentioned therein.  Document authorizing Stock Broker/Trading Member to maintain the running account of funds and securities in the manner mentioned therein.  Authorisation for accepting instructions from third person.  Document authorizing stock broker to operate client demat account towards trading obligations.  Document authorizing to debit depository/other charges electronically from bank.	23-24

### Name of stock broker/trading member/clearing member: Religare Securities Limited

Name of Stock Exchange and Depository	SEBI Registration Number and Date
National Stock Exchange of India Limited	Cash-INB230653732   November 1, 1994 F&O-INF230653732   November 15, 2000 Currency Derivatives-INE230653732   August 25, 2008 Debt - November 29, 2013
BSE Limited	Cash- INB010653732   October 15, 2004 F&O- INF010653732   February 19, 2007 Currency Derivatives   December 13, 2013 Debt - August 12, 2013
Metropolitan Stock Exchange of India Limited	Cash-INB260653739   February 05, 2013 F&O-INF260653739   February 05, 2013 Currency Derivatives-INE260653732   November 20, 2008 Debt - December 30, 2013
National Securities Depository Limited	<b>DP ID</b> : IN301774  IN-DP-NSDL-150-2000   July 19, 2000
Central Depository Services (India) Limited	<b>DP ID</b> : 30200  IN-DP-CDSL-202- 2003   February 27, 2003

### **Registered Office Address**

D3, P3B, District Centre, Saket, New Delhi – 110017 Ph: +91-11-3912-5000 | Fax: +91-11-3912-6050 | Website: www.religareonline.com

## **Correspondence Office Address**

A-3/4/5, GYS Global, Sector-125, Noida-201301 (U.P.)
Ph: 0120-339-1000 | Fax: 0120-339-4555 | Website: www.religareonline.com

Compliance Officer Details

Name : Mr. Vikas Sethi Phone No. : 0120-339-1000

Email Id : compliance@religare.com

CEO Details

Name : Mr. Nitin Jain
Phone No. : +91-11-3912-5000
Email Id : ceo.rsl@religare.com

For any grievance/dispute please contact Religare Securities Limited at the above address or email id: igreligare@religare.com and Phone No. T: 1860 25 88888. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange Name	Email Id	Phone No.
NSE	ignse@nse.co.in	022-26598100
BSE	is@bseindia.com	022-22721233/34
MSEI	investorcomplaints@msei.in	022-61129000 Ext. 9028

Senior Manager, Investor Services Centre,

Metropolitan Stock Exchange of India Limited, Exchange Square, Suren Road, Chakala, Andheri (East), Mumbai-400 093

### **ACKNOWLEDGEMENT**

I/We acknowledge receipt of the documents at serial 3, 4, 5, 6, 15, 16 & 17 mentioned overleaf under INDEX. I/We have read the contents of these and agree to abide by them. I/We further understand that the copies of rest of the documents mentioned in Index shall be provided to me/us after Verification/Acceptance / Execution by the broker and Depository Participant.





#### 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.
- 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.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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:

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- 2. PAN card with photograph.
- 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.)
- Unique Identification Number (UID) (Aadhaar) / 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.
- 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.
- 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.
- 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.)

- 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:

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

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

Types of entity	Documentary requirements
Corporate	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>Copy of the Board Resolution for investment in securities market.</li> <li>Authorised signatories list with specimen signatures.</li> </ul>
Partnership Firm	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorised signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only).</li> <li>Copy of Trust deed.</li> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated association or a body of individuals	<ul> <li>Proof of Existence/Constitution document.</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Banks/ Institutional Investors	<ul> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul> <li>Copy of SEBI registration certificate.</li> <li>Authorized signatories list with specimen signatures.</li> </ul>
Army/Government Bodies	Self-certification on letterhead.     Authorized signatories list with specimen signatures.
Registered Society	<ul> <li>Copy of Registration Certificate under Societies Registration Act.</li> <li>List of Managing Committee members.</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

## INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

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

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

<sup>\*</sup>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.
- 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.
- 5. For non-individuáls:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

## KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

## **Religare Securities Limited** A-3/4/5, GYS Global,

Sector-125, Noida-201301 (U.P.)

## **PHOTOGRAPH**

Please affix your recent passport size photograph

	se fill this form in ENGLISH and in BLOCK LETTERS		Signature Ac Photograp
A.	IDENTITY DETAILS		
1.	Name of the Applicant		
2.	Father's / Spouse Name		
3.	a) Gender	e of Birth DD	M M Y Y Y
4.	a) Nationality Indian Others Pls. specify   b) Status Resident Individu	al Non Reside	nt Foreign Nation
5.	a) PAN b) Aadhaar Number, if any		
6.	Specify the proof of Identity submitted PAN Card Any other (please s	pecify)	
B.	ADDRESS DETAILS		
1.	Residence / Correspondence Address		
	City/Town/Village	PIN Code	
	State                     Country		
2.	Specify the proof of address submitted for Residence/Correspondence Address		
3.	Contact Tel. (Off.)     with STID Code     Tel. (Res.)	wi <mark>th S</mark>	TD Code
	Details Fax No.     with STD Code     Mobile No.		
	Email ID		
4.	Permanent Address (if different from above. Mandatory for Non-Resident Applicant to specify overseas address)		
	City/Town/Village	PIN Code	
	State Country Country		
C.	DECLARATION		
my I mm	reby declare that the details furnished above are true and correct to the best of knowledge and belief and I undertake to inform you of any changes therein, nediately. In case any of the above information is found to be false or untrue or leading or misrepresenting, I am aware that I may be held liable for it.		
	Date D D M M Y Y Y Y	Signature of th	e Applicant
	FOR OFFICE USE ONLY		
Nar Des Nar Nar	person Verification (IPV) Details:  me of the person who has done the IPV:  signation:  me of Sub-Broker/Authorised Person  me of the Organization: Religare Securities Ltd.	Seal/Stamp of th	ne Intermediary
Dat	te of IPV: DDD / MM M / Y Y Y Y Y Signature of the person who has done the IPV		
	Original Verified and Self Attested Document copies received Date :	Signature of the A	uthorised Signatory

## KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)

## **PHOTOGRAPH**

Please affix your

#### Religare Securities Limited recent passport A-3/4/5, GYS Global, size photograph Sector-125, Noida-201301 (U.P.) Please fill this form in ENGLISH and in BLOCK LETTERS Signature Across Photograph **IDENTITY DETAILS** Name of the 1. **Applicant** 2. Date of incorporation Place of incorporation 3. Date of commencement of business b) Registration No. (e.g. CIN) 4 5. Status (please tick any one) Private Limited Co. Public Ltd. Co. Body Corporate Trust Charities Bank Government Body Non Government Organization Defense Establishment Society HUF AOP Partnership | FI | FII BOI Others (please specify) **ADDRESS DETAILS** B. Correspondence 1. Address City/Town/Village State Country Specify the proof of address submitted for correspondence address Contact Tel. (Off.) Tel. (Res.) Details Mobile No. Fax No. **Fmail ID** Registered Address (if different from above) City/Town/Village PIN Code State Country OTHER DETAILS Name, PAN, residential address and photographs of Promoters/ 1. Partners/Karta/Trustees and whole time directors: DIN of whole time directors Aadhaar number of Promoters/Partners/Karta D. DECLARATION I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of **E** 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. Date | D | D | M | M | Y | Y | Y | Y | Name & Signature of the Authorised Signatory(ies)

	FOR OFFICE USE ONLY		
In person Verification (IPV) Details: Name of the person who has done the IPV:			
Designation:Employee	ID:		
Name of Sub-Broker/Authorised Person		Seal/S	Stamp of the Intermediary
Name of the Organization: Religare Securities Ltd.			
Date of IPV: DDJ/MMJ/YYYYY	ature of the person who has done the IPV		
☐ Original Verified and Self Attested Document copies receive	d Date:	Signatu	re of the Authorised Signatory

## DETAILS OF AUTHORISED SIGNATORY(IES)/ PROMOTERS/ PARTNERS/ KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

1.	Name																
	Relationship	with Applica	ant (i.e	. pro	mote	ers, w	/hole	time	directo	ors etc.)							PHOTOGRAPH
	PAN								DIN/A	Aadhaar N	0.*						
	Residential/																
	Registered Address																Please affix your
	Audi C33	City/Town/Village							PIN								recent passport size photograph
		State								Country							and sign across i
	Contact	Phone No.								Mobile N	lo.						
	Details	E-mail ID															
	Whether Po	litically Expo	sed [	R	PEP:	Rela	ited to	o Poli	itically	Exposed	Perso	1	PEP	: Pol	iticall	у Ехр	osed Person 🔲 1
2.	Name																
٤.		l o with Applica	ant (i e	nro	mote	ers w	/hole	time	directo	ors etc.)						-	PHOTOGRAPH
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	Registered																Please affix your
	Address	City/Town/\	/illage							PIN							recent passport
		State					Country								size photograph and sign across		
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	Contact Details									Mobile N	lo.						und sign doross i
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3.	Details Whether Po	Phone No. E-mail ID litically Expo								Mobile N		า 🗆	PEP	): Pol	iticall	у Ехр	oosed Person 🔲 N
3.	Details Whether Po  Name Relationship	Phone No. E-mail ID							directo	Mobile N  Exposed  ors etc.)	Perso	1 🗌	PEP	: Pol	iticall	у Ехр	oosed Person 🔲 N
3.	Details Whether Po Name Relationship PAN	Phone No. E-mail ID litically Expo							directo	Mobile N	Perso	1	PEP	P: Pol	iticall	у Ехр	oosed Person 🔲 N
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3.	Details Whether Po Name Relationship PAN	Phone No. E-mail ID  litically Expo	ant (i.e	. pro					directo	Mobile N Exposed ors etc.)	Perso	n 🗆	PEP	e: Pol	iticall	у Ехр	PHOTOGRAPH  Please affix your recent passport
3.	Details Whether Po  Name Relationship PAN Residential/Registered	Phone No. E-mail ID litically Expo	ant (i.e	. pro					directo	Mobile N  Exposed  Drs etc.)  Aadhaar N	Perso	n 🗆	PEP	P: Pol	iticall	у Ехр	PHOTOGRAPH  Please affix your recent passport size photograph
3.	Name Relationship PAN Residential/ Registered Address	Phone No.  E-mail ID  litically Expo  with Applica  City/Town/\ State	ant (i.e	. pro					directo	Mobile N  Exposed  ors etc.)  Aadhaar N  PIN  Country	Person 0.*	1	PEP	Pol	iticall	у Ехр	PHOTOGRAPH  Please affix your recent passport size photograph
3.	Name Relationship PAN Residential/ Registered Address Contact	Phone No.  E-mail ID  litically Expo  with Applica  City/Town/\ State  Phone No.	ant (i.e	. pro					directo	Mobile N  Exposed  Drs etc.)  Aadhaar N	Person 0.*	1	PEP	Pol	iticall	у Ехр	PHOTOGRAPH  Please affix your recent passport size photograph
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### ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT (For Individuals & Non-Individuals) BANK ACCOUNT(S) DETAILS (1) Bank Name **Branch Address** City/Town/Village PIN Code State Country Bank Account No. Bank Account Type Savings Current Others In case of NRI: NRE MICR Code **IFSC BANK ACCOUNT(S) DETAILS (2)** Bank Name **Branch Address** City/Town/Village PIN Code State Country Bank Account No. Bank Account Type Savings Current Others In case of NRI: NRE NRO MICR Code **IFSC** B. DEPOSITORY ACCOUNT(S) DETAILS (1) Depository Participant Name Depository Name (NSDL/CDSL) NSDL **CDSL** Beneficiary Name DP ID Beneficiary ID (BO ID) **DEPOSITORY ACCOUNT(S) DETAILS (2)** Depository Participant Name Depository Name (NSDL/CDSL) NSDL **CDSL Beneficiary Name** DP ID Beneficiary ID (BO ID) **OTHER DETAILS** Net- worth Amount (₹) **Gross Annual** Income Range per annum Income Details Below ₹1 Lac ₹1-5 Lac ₹5-10 Lac ₹10-25 Lac As on (date) D M M (please specify) (Net worth should not be older than 1 year) More than ₹1Crore ₹25 Lac -1 Crore Occupation (please tick Private Sector Public Sector Government Service Business Professional any one and give brief Agriculturist Retired Housewife Student Others details): Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Please tick, if applicable

Any other information

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WITNESSE	S (Only applicable in case the account holder has made nomination)
Name (1)	Name (2)
Address	Address
	PIN Code               PIN Code
Cianoturo	Cignoture (C)
Signature	Signature
DECLARA	TION
	reby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/w
underta	ke to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue o
	ing or misrepresenting, I am/we are aware that I/we may be held liable for it. nfirm having read/been explained and understood the contents of the document on policy and procedures of the stoc
brokera	nd the tariff sheet.
	ther confirm having read and understood the contents of the 'Right and Obligations' document(s) and 'Risk Disclosur ent'. I/we do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informe
	e standard set of documents has been displayed for Information on stock broker's designated website
www.re	igareonline.com.
Date D D	
<u> </u>	Signature of Client/(all) Authorized Signatory(ies)
FOR OFFIC	E USE ONLY
UCC Code	Illotted to the Client
	Documents verified with Originals Client Interviewed By In-Person Verification done by
Name of the	
Employee/A	
Employee C	
Lilipioyee C	
Designation	
Employee/A	736
Date	
Signature	
	ke that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/V de the client aware of 'Right and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy
all the KYC	documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandato
	ould be duly intimated to the clients. I/We also undertake that any change in the 'Right and Obligations' and RDD would l le on my/our website: www.religareonline.com, for the information of the clients.
or entitle	
	Seal/Stamp of the stock broker Signature of the Authorised Signature

PRODUCT PLAN* / BROKERAGE	IFF SHEET				
PRODUCT PLAN* / BROKERAGE					
Religare		(*Scheme of	details as per executed addendum)		
CASH SEGMENT					
Brokerage in% (subject to max. of 2.5%)		aise (subject 25 paise)	One Side/Both Side		
Delivery Based					
Daily Square up					
Minimum brokerage charge for trading in illiquid/high risk scrips i with minimum 5 paisa (Scrip list available under client login).	in cash segmer	nt will be .50% on de	elivery and .05% on intraday turnove		
DERIVATIVE SEGMENT					
Brokerage in% (subject to max. 2.5% / ₹100/- Per Lot)	Minimum Pa	aise/ Per Lot	One Side / Both Side		
Future					
Option					
CURRENCY DERIVATIVES & INTEREST RATE FUTURES	SEGMENT				
Brokerage per lot (in ₹)		Or	ne Side / Both Side		
Future					
Option					
OTHER CHARGES					
Nature of Charge	Applicab	le Charge			
a) Annual Subscription Fee for EXE Based Diet Users	₹ 999/- pe	er annum.			
b) Inter Settlement Charges	₹ 15/- (plu	₹ 15/- (plus service tax) per transaction			
c) Administrative Charges - Offline for offline order on per executed order	₹ 10/- (Ma	₹ 10/- (Maximum ₹ 50/- per day /per segment)			
<ul> <li>d) Delayed Payment Charges – On overdue balance towards trading or margin (Standard rate per annum)</li> </ul>	21%	21%			
e) Account Processing Charges	₹ 500/-	₹ 500/-			
In addition to brokerage additional charges including statutory le tax, STT, other taxes and levies, investor protection fund fees et charges, cheque bounce charges, auction settlement charges website www.religareonline.com  I/We understand that economic conditions change over time and	c. charged by the sas may be ap	he statutory authori oplicable will be lev	ities/Exchange(s), delayed payment vied. For details please login on our		

Client Signature

### **VOLUNTARY DOCUMENT(S)**

### **Religare Securities Limited**

D3, P3B, District Centre, Saket, New Delhi - 110017

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

1. REQUEST FOR TRADE ALERTS THROUGH SMS AND/OR E-MAIL: In agreement and pursuance to directions and

		ditions specified by SEBI vide circular no. CIR/MIRSD/15/2011 dated August 2, 2011 and NSE & BSE vide circular no. E/INVG/19135 dated October 14, 2011 and 20111118-19 dated 18th November 2011 respectively and circulars/
		rifications issued by SEBI/ exchanges from time to time in this regard.
1.1	1/\/\	e hereby confirm that I / we wish to receive the trade alerts through (tick whichever is applicable):
	a)	SMS alerts b) E-Mail alerts
1.2	The	e alerts should be sent:
	ļ.	On my registered Mobile Number / Email Id as per your records, or
	II.	You are requested to update the Mobile Number/Email Id mentioned below in your records and for the purpose of trade alerts:
		a) Mobile No.
		b) E-mail address

I / We am/are aware that the recipient of SMS/Email alerts on the above Mobile Number and/or Email address can be stopped only on my / our written request.

- 2. **AUTHORIZATION FOR SHARING PERSONAL INFORMATION:** I / we understand that RSL has outsourced/may outsource certain activities including but not limited to activities relating to KYC, Information Technology functions, technical support functions or any other functions as may be decided by RSL to one or more third parties including group / related entities. I / we would further like to mention that I / we want to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments and other products / services etc. and generally to invest in various avenues / products and to redeem/liquidate any investments and want RSL to give effect to my / our desires/ requirements. In view of the above I / we authorize RSL to share my / our personal and other information with one or more third parties including group / related entities for any one or more of the above said purpose. I / we agree that any offers / information received shall not be contested on grounds of address / phone included in national do not call registry or any other such restrictive regulations/ laws.
- 3. **AUTHORITY TO PLEDGE THE SHARES / SECURITIES:** I / We wish to use my / our shares / securities as margin / collateral for our trading and therefore shall be ensuring that shares / securities provided by me / us in this regard shall be my / our absolute property and shall not have any prior encumbrance of any type. I / We hereby further authorize RSL to pledge my / our shares/ securities lying with it as margin/ collateral with third parties such as Banks to meet the settlement/ margin obligation on my / our behalf as required from time to time. I / We would further like to mention that RSL shall be entitled to invoke pledge at its absolute discretion at any point of time without giving any prior intimation to me / us to meet settlement obligation for my / our trading activities undertaken through RSL.
- 4. **VERBAL ORDER ACCEPTANCE AUTHORISATION:** I / We agree and acknowledge that in order to avoid any disputes it is recommended by you that I / we should give instructions for order placement / modification and cancellation in writing in the format given along with Policies and Procedure Document, and take signatures of two authorised officers of the branch where orders are tendered along with company stamp on the carbon / photocopy of the instructions in

acknowledgment of receipt of my / our instructions. However it is my / our view that the fluctuations in market are so rapid that it is not practical to give written instructions for order placement / modification and cancellation. I / We therefore authorize you to accept my (our) / my (our) authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same. I / We understand the risk associated with verbal orders and accept the same, and agree that I / We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording etc.

**RUNNING ACCOUNT AUTHORISATION:** In order to avoid time consuming repeated pay-in by me/us and pay – out by you of funds and securities I /we hereby direct and authorise you to maintain running account(s) and debit /credit securities and funds from/to the running accounts and make pay-in / receive securities and funds to / from exchanges/ clearing corporations / other receiving parties (if applicable). Further, subject to your discretion and valuation please treat my / our securities and funds lying to my / our credit in running accounts as margin/ collateral for my / our dealings/ trading. In the event I / we have outstanding obligations on the settlement date, you may retain the requisite securities / funds towards such obligations along with funds and / or securities expected to be required to meet margin obligations for next 5 trading days. In case, I / we have traded during my / our chosen settlement period, you may retain amount upto Rs.10,000/- (net amount across segment and across stock exchanges). Authorisation is subject to changes as prescribed by the exchange(s)/ SEBI from time to time. While settling the account, please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. In the statement(s) being sent, please provide details regarding retention of funds / securities and pledge, if any. I / We shall bring any discrepancy in the statement(s) preferably within 7 working days from the date of receipt to your notice so as to allow you to take remedial steps, if any are warranted. Please do not carry out above stated settlement of running account in the event I / We avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR). I / We am/are entitled to revoke this Authorisation at any time. My / Our preference for actual settlement of funds and securities is at least: Once in a Calendar Quarter Once in a Calendar Month Date D D M M Y Y Y Y Client Signature ( **Client Name** 

**Client Code** 

## **LETTER OF AUTHORITY**

## **Religare Securities Limited**

**Client Code** 

D3, P3B, District Centre, Saket, New Delhi - 110017

Sir,					
I/We have been / shall be dealing through you as my / our bro	oker i.e. agent.				
I/We hereby appoint Mr. /Ms. /Mrs	contract notes, bill d any other docume ndersigned do here	ls, account sta ents or commu eby agree and	ntements, so nication and declare an	ettlements, d generally d confirm t	, order and / or to do any and that all the acts
Please treat this authorization as written ratification of my verifier. I agree to indemnify you and keep you indemnified a as a consequence of adhering to and carrying out my direction	gainst all losses, d		3 0		3 3
Please take the above information on record & oblige.					
Thanking you					
Details of Auth	orised Represent	ative			
Name Address I I I I I I I I I I I I I I I I I I					
City/Town/Village			PIN Code		
State	Country	Mobile No.			
Relationship of Authorised Representative with the client					
Signature of Authorised Representative	$\otimes$				
<ul> <li>Enclosed self-attested copy of identity proof of the Author</li> <li>An employee or sub-broker/authorised person of Rerepresentative.</li> </ul>	•		ot be appo	ointed as	an authorised
Client Signature			Date D	D M M	YYYY
Client Name					

#### LIMITED PURPOSE POWER OF ATTORNEY

I/we an individual/a sole proprietary concern/a partnership firm/a HUF/a body corporate or any other legal entity registered/ incorporated under the provisions of a relevant act, whose particulars are given hereunder at the execution page hereinafter referred to as "Donor" which expression shall, unless it be repugnant to the meaning or context thereof, be deemed to mean and include my/our heirs, executors, administrators, permitted assigns, the partners of the firm and the survivors of them and the heirs, executors and administrators of the partners, successors in title, trustees of a Trust and their successors, member of the governing body and any new members elected appointed or co-opted as the case may be of a society, having residence/office at the place mentioned at the execution page (residence address for individuals, office address for proprietorship and partnership and HUF and registered office for companies, trusts and societies), do send greetings: Whereas:

- A. The Donor is registered / is registering / desires to register with Religare Securities Limited, a Company incorporated under the Companies Act, 1956 and having its registered office at D3 P3B District Centre, Saket, New Delhi -110017 Phone: 011-39125000 (hereinafter referred to as "the Donee" which means the stock broking division of Religare Securities Limited) as a client /constituent, and
- B. The Donor wants that Donee should consider the securities/funds in the demat account/bank account (details of which are given on execution page) of donor as margin / collateral / security for dealings of Donor done/ to be done /expected to be done through /with Donee; and
- C. The Donor wants Donee to transfer securities/funds to Donee's demat BO account/ Donee's Bank Account (details of which are given on the execution page) for creating/maintaining collateral/ security/ margin; and
- D. The Donor wants Donee to make pay in and pay out of securities and/or funds (including pay in / pay out due to exercise of rights by Donee over securities/funds considered as margin/collateral/security) to stock exchange/clearing corporations / clearing house etc. as may be required from time to time; and
- E. The Donor wants to make investments in Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. and wants Donee to give effect to desires/ requirements of Donor to sign any documents and / or do any and all act(s) as may be required for these purposes from time to time; and

**NOW KNOW YE ALL MEN AND THESE PRESENTS WITNESSETH** that I/we the donor do hereby nominate constitute and appoint the said Religare Securities Limited as my/our true and lawful Attorney for me / us and in my / our name and on my / our behalf and at my / our cost and expense to do and / or cause to be done the acts, deeds or things for the limited purposes as under:

#### 1. Securities

- I. Transfer of securities held in the beneficial owner account(s) (details of which are given on the execution page) of the Donor towards stock exchange related margin / delivery obligations arising out of trades executed by the Donor on the stock exchange through the Donee,
- ii. Pledge the securities in favour of Donee for the limited purpose of meeting the margin requirements of the Donor in connection with the trades executed by the Donor on the stock exchange through the Donee,
- iii. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to the instructions of the Donor.

#### 2. Funds:

Transfer of funds from the bank account(s) of the Donor (details of which are given on the execution page) to the bank account(s) of Donee (details of which are given on the execution page) for the following:

- i. For meeting the settlement obligations of the Donor / margin requirements of the Donor in connection with the trades executed by the Donor on the stock exchange through the Donee.
- ii. For recovering any outstanding amount due from the Donor arising out of Donor's trading activities on the stock exchanges through the Donee.
- iii. For meeting obligations arising out of the Donor subscribing to such other products/facilities/services through the Donee like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc.
- iv. Towards monies/fees/charges, etc. due to the Donee/Depository Participant/ Principal payable by virtue of the Donor using/subscribing to any of the facilities/services availed by the Donor at his/her instance.
- 3. Donee may send consolidated summary of Donor's scrip-wise buy and sell positions taken with average rates to the Donor by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- 4. Donee would return to the Donor, the securities that may have been received by it erroneously or those securities that it was not entitled to receive from the Donor.



i. Donor Beneficial (	Owner Accou	unt :								
DP Name				DP ID				BO Account No.		
Religare Securities Limited			I N	3 0	1 7	7 4				
ii Danar Dank Account.										
ii. Donor Bank Account :  Name of Bank						Ran	k Acc	ount No		
Name of Dam						Dail	K ACC	Ount NO	•	
5.2 Details of Donee's Poo	ol/Margin acc	counts and Bank accounts wh	nere fu	nd and s	ecuritie	s can be	moved	l:		
i. Donee's Pool/Mai	rgin beneficia	al owner Account :								
<b>Demat A/c Purpose</b>	NSDL			CDS	L					CM Name
NSE Pool A/c	IN558537		nal), 12	2030200	00031	889 (SL	BS)			
BSE Pool A/c	IN630043	12030200 00000062 (Norr								
MSEI Pool A/c	IN471915	12030200 00031802 (SLB 12030200 00093441	S Pay	-1[1], 120	30200	0003170	)Z (SL	BS Pay-	Jul)	Securities Limited
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BSE STAR MF A/c		11000029 00000011								BOISL/ICCL
Demat A/c Purpose	)	DP Name	DI	P ID	D	eposito	ry	Ber	neficia	ry ID
Margin A/c	Rel	igare Securities Limited		IN301774 NSDL					0099144	
			120	12030200   CDSL   00000024			)24			
ii. Donee's Bank Acc	count :							4.51		
Name of Bank						Ban	k Acc	ount No	•	
I/We agree that therefore a actions with respect to pow	an interest w er granted to to ratify what	s/funds in my/ our demat accordill get created in your favour byou shall not be detrimental the ever the said Attorney may late is power of attorney on this	agains to your	st the sh ability to	ares/fu satisfy	nds in m my/our r	y/our a nargin/	account, I pay-in ol	/We a	gree that ou
								<b>S</b>		
Sole/First Hol	der Signatur	e Second	Holder	Signatu	re			Third Ho	ılder Si	anature
Sole/First Hol	der Signatur	re Second	Holder	Signatu	re	N		Third Ho	lder Si	gnature
	der Signatur		Holder	Signatu	re	Name			lder Si	gnature
Sole/First Hol	der Signatur	re Second	Holder	Signatu	re	<b>Name</b> Address			older Si	gnature
Sole/First Hole Name Address	der Signatur	Second Name Address	Holder	Signatu	re	Address		Third Ho	older Si	gnature
Sole/First Hole Name Address Witness-I	der Signatur	Second Name Address Witness-II	Holder	Signatu	re	Address		Third Ho	lder Si	gnature
Sole/First Hole Name Address	der Signatur	Second Name Address	Holder	Signatu	re	Address		Third Ho	older Si	gnature

Signature

Signature

Signature

Date: 01/12/2015 Version - 2.1



# Experience Smart, Simple & Personalised way of trading with

www.religareonline.com



D3, P3B, District Centre, Saket, New Delhi-110017.

If undeliverd, please return to: GYS Global, 7th Floor, A-3,4,5, Plot No. 11, Sector 125, Noida-201301.

ACKNOWLEDGMENT	
F	Form No
Received the application from Mr./Ms	
respectively for opening Trading and Demat account. Your account will be opened after of the application submitted by you on our website (www.religareonline.com) Your Client Id will be intimated to you once your account gets opened successfully. Ple (CM-BP-ID in case of Clearing Members) in all your future correspondence.	due verification by us. You can check the status
	For Religare Securities Limited
Name of Relationship Manager	
Mobile No. of Relationship Manager + 9 1	Stamp and Sign
You may contact us at our  Customer Care No. 1860 25 88888 or e-mail to us at wecare  P.S.: Please take this acknowledgement receipt from the RM/Bran  *Trading account can not be opened in joint names.	<b>.</b>