

Client Registration Form

Non-Individual

Stocks and Securities

Aditya Birla Money Limited



PROTECTING INVESTING FINANCING ADVISING

To be mandatorily filled by Branches / Authorised Persons

Name of the Branch / AP

Branch / AP Code

TWS Terminal ID

Employee Code DSA / AP Code

Account Type : ☐ Trading & Demat ☐ Only Demat

Account Mode (Please ☒ Tick) ☐ Online

Verified by - Account Opening Department :

Name : _____ Signature : _____

Introducer Details - Optional

Name of the Introducer	Surname	Name	Middle Name
Status of the Introducer	<input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee		
Address of the Introducer	<input type="checkbox"/> Others (Please specify) _____		
Phone No. of the Introducer	_____ Signature of Introducer		

Annexure - 1

ACCOUNT OPENING KIT

INDEX

S.No.	Name of the Document	Brief Significance of the Document	Page No.
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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1.	Account Opening Form	A. KYC form - Document captures basic information on about the Client	1-10
2.	Tariff sheet	Document detailing tariff, brokerage, interest and other charges levie to Client for trading and demat services	11-12

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

3.	Voluntary Authorization Letter	Document authorizing Stock Broker to maintain running account, to send documents through E-Mail, to send SMS, as well as debit DP charges to trading A/C	13
4.	Suitability Assessment Questionnaire	Document assessing the suitability of client	14
5.	Demat Debit and Pledge Instruction (DDPI)	Document authorising the Stock Broker for transfer of securities towards deliveries/settlement obligations and pledging /re-pledging of securities.	15-16
6.	Consent form for receiving trade alerts through SMS and/or E-mail	Consent form for receiving trade alerts through SMS and/or E-mai - Document of client consent for receiving trade alerts through SMS and/or E-mail from the Exchange	17
7.	Mobile / Email Declaration	Declaration for updating same mobile number and email address for trading and demat account	18
8.	One Time Declaration for G Securities	Declaration for Transfer of G Securities.	19
9.	Categorization of Participant in Commodities Derivatives	MCX-Self declaration on Categorization of Participants in Commodities Derivatives	20
10.	Categorization of Participant in Commodities Derivatives	NCDEX- Self declaration on Categorization of Participants in Commodities Derivatives	21
11.	FATCA / CRS Declaration	FATCA Declaration for where client hold tax residency	22-25

For office use only Application Type* ☐ New ☐ Update Application Number _____

(To be filled by financial institution) KYC Number

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 (Mandatory for KYC update request)

Name*

Entity Constitution Type* ☐ Other (Specify) (Please refer instruction **B** at the end)

Date of Incorporation / Formation* - - Date of Commencement of Business - -

Place of Incorporation / Formation* - - Country of Incorporation / Formation* - -

TIN or Equivalent Issuing Country

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PAN*

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 Form 60 furnished

TIN / GST Registration Number

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Regen Certificate No.

☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed

☐ Resolution of Board or Managing Committee

☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

3.1 Registration Office Address / Place of Business*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

[illegible][illegible][illegible]District* PIN / Post Code* State / U.T Code* ISO 3166 Country Code

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3.2 Local Address in India (If different from Above)*

Proof of Address* ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document

Line 1*

Line 2*

Line 3* City / Town / Village*

District* PIN / Post Code* State / U.T Code*

ISO 3166 Country Code

☐ 4. CONTACT DETAILS (All communications will be sent to Mobile number/ Email-ID provided" may be used) (Please refer instruction D at the end)

Tel. (Off) - FAX -

Mobile - Email ID

Mobile - Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

☐ 6. REMARKS (If any)

☐ 7. APPLICANT DECLARATION (Please refer Instruction G at the end)

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

Date: - - Place:

Signature/Thumb Impression
of Authorised Person(s)

☐ 8. ATTESTATION / FOR OFFICE USE ONLY

Document Received ☐ Certified Copies ☐ Equivalent e-document ☐

IPV AND KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch Name

(Employee Signature)

INSTITUTION DETAILS

Name : Aditya Birla Money Limited
Code : IN0113

(Institution Stamp)



CENTRAL KYC REGISTRY I Know Your Customer (KYC) Application Form I Related Person

For office use only Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official
☐ Proprietor ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder
☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

Prefix First Name Middle Name Last Name

☐ Name* (Same as ID proof)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth*

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

Nationality ☐ IN- Indian ☐ Others (ISO 3166 Country Code)

PAN* ☐ From 60 furnished

PEP(Please tick whichever applicable) : ☐ Politically exposed Person ☐ Related to politically exposed person ☐ None

☐ 1.2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction Bat the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number

☐ B-Voter ID Card

☐ C-Driving Licence

☐ D-NREGA Job Card

☐ E-National Population Register Letter

☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

Line 1*

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

☐ **1.3. CURRENT ADDRESS DETAILS** (Please refer instruction E at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C-Driving Licence
☐ D-NREGA Job Card
☐ E-National Population Register Letter
☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

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

☐ **1.4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided)(Please refer instruction D at the end)

District* - Tel. (Res) - Mobile -
E-mail ID

6. APPLICANT DECLARATION

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

Date Place:

Signature/Thumb Impression
of Applicant

☐ **8. ATTESTATION / FOR OFFICE USE ONLY**

Document Received ☐ Certified Copies ☐ Equivalent e-document ☐ Data received from Offline verification
☐ Digital KYC ☐ Equivalent e-document

IPV AND KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch Name

(Employee Signature)

INSTITUTION DETAILS

Name : Aditya Birla Money Limited

Code : INO113

(Institution Stamp)



CENTRAL KYC REGISTRY I Know Your Customer (KYC) Application Form I Related Person*

For office use only Application Type* ☐ New ☐ Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

☐ 1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official
☐ Proprietor ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder
☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

☐ 1.1 PERSONAL DETAILS (Please refer instruction E at the end)

Prefix First Name Middle Name Last Name

☐ Name* (Same as ID proof)

Maiden Name

Father / Spouse Name

Mother Name

Date of Birth*

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

Nationality ☐ IN- Indian ☐ Others (ISO 3166 Country Code)

PAN* ☐ From 60 furnished

PEP(Please tick whichever applicable) : ☐ Politically exposed Person ☐ Related to politically exposed person ☐ None

☐ 1.2. PROOF OF IDENTITY AND ADDRESS* (Please refer instruction Bat the end)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number

☐ B-Voter ID Card

☐ C-Driving Licence

☐ D-NREGA Job Card

☐ E-National Population Register Letter

☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

☐ PHOTO*

Address

Line 1*

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

☐ **1.3. CURRENT ADDRESS DETAILS** (Please refer instruction E at the end)

☐ Same as above mentioned address (In such cases address details as below need not be provided)

I. Certified copy of OVD or equivalent e-document of OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number
☐ B-Voter ID Card
☐ C-Driving Licence
☐ D-NREGA Job Card
☐ E-National Population Register Letter
☐ F-Proof of Possession of Aadhaar

II ☐ E-KYC Authentication

III ☐ Offline verification of Aadhaar

IV ☐ Deemed PoA

V ☐ Self Declaration

Address

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

☐ **1.4. CONTACT DETAILS** (All communications will be sent to Mobile number/ Email-ID provided)(Please refer instruction D at the end)

District* - Tel. (Res) - Mobile -
E-mail ID

6. APPLICANT DECLARATION

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

Date Place:

Signature/Thumb Impression
of Applicant

☐ **8. ATTESTATION / FOR OFFICE USE ONLY**

Document Received ☐ Certified Copies ☐ Equivalent e-document ☐ Data received from Offline verification
☐ Digital KYC ☐ Equivalent e-document

IPV AND KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch Name

(Employee Signature)

INSTITUTION DETAILS

Name : Aditya Birla Money Limited

Code : INO113

(Institution Stamp)

TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE			MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Commodity Derivatives

If you do not wish to trade in any of segments / Mutual Fund, please mention here

2. Bank Details (Through which transactions would be routed. Details & proof of bank account(s) is required)

Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others (Please specify _____)
Bank Account No	_____		
MICR Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	IFSC Code	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Bank Name	_____		
Bank Address	_____ _____		
City	_____	Pincode	_____
State	_____	Country	INDIA

Please provide additional bank account details (if any) as annexures with proofs.

3. INFORMATION PROVIDED BY THE CLIENT IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Income / net worth / occupation / PEP details provided herein above may be considered under SEBI PMLA requirements.

I/We undertake to update my/our financial position as required by SEBI.

I/We confirm that I/We will immediately inform ABML in case am/are convicted or any action is taken against me/us by any government/ judicial authority.

I/We hereby declare that I/We am/are beneficial owner of the Trading /Demat Account opened with ABML

4. Depository Account Details

Depository Participant Name : ADITYA BIRLA MONEY LIMITED	Depository Name : CDSL/NSDL
DP ID <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Beneficiary ID (BO ID) <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

5. Past Actions

Details of any actions/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.

☐ Yes ☐ No If yes, provide details: _____

6. Dealings through Authorised Person and Other Stock Brokers

If client is dealing through any other Member, provide the following details (in case dealing with multiple Members, provide details of all in a separate sheet containing all the information as mentioned below) :

Member's/Authorized Person (AP)'s Name	
Exchange	
Exchange's Registration number	
Concerned Member's Name with whom the AP is registered	
Registered office address	
Phone	Fax
E-mail	
Website	
Client Code	
Details of disputes/dues pending from/to such Member/AP	

7. Other Details:

f. Gross Annual Income Details (please specify)	Income Range per annum	<input type="checkbox"/> Up to Rs. 1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> 25 lacs- 1 Crore <input type="checkbox"/> More than 1 Crore
	Net-worth as on (date)	<div> <div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div> </div> (Net worth should not be older than 1 year)

8. GSTIN Number (If Applicable) : _____

9. Standing Instruction

1. Account to be operated through Demat Debit and Pledge Instructions (DDPI)/POA/E-DIS	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be Yes')	(Automatic Credit) <input type="checkbox"/> Yes <input type="checkbox"/> No
3. SMS Alert Facility Mobile No. +91 _____ <small>Refer to Terms & Conditions given as Annexure in Rights & Obligations Booklet.</small> Mandatory, if you are giving if you are giving DDPI/Power of Attorney (POA) If DDPI/ POA is not granted & you do not wish to avail this facility, cancel this option.	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
5. Whether you wish to receive physical contract note/Electronic Contract Note (ECN)* / Electronic Transaction and Holding Statement (If ECN & ESOTH is opted, "Authorization for sending documents through E-Mail" shall be executed)	<input type="checkbox"/> Electronic Transaction-cum-Holding Statement (ESOTH) <input type="checkbox"/> Electronic Contract Note (ECN)* <input type="checkbox"/> Physical Contract Note (Charges applicable)
6. I/We wish to receive dividend/interest directly in to my/our bank account as given above through ECS (If not marked, the default option would be 'Yes' [ECS is mandatory for locations notified by SEBI from time to time])	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. To register for easi, please visit CDSL website www.cdslindia.com (Easi allows a BO to view ISIN balances, transactions and value of the portfolio through Internet.)	<input type="checkbox"/> Yes <input type="checkbox"/> No

8. Whether you wish to avail of the facility of Internet Trading/Wireless Technology (please specify):	<input type="checkbox"/> Yes <input type="checkbox"/> No
9. Investment/Trading experience:	<input type="text" value="Y"/> <input type="text" value="Y"/>
10. I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (if not marked, the default option would be 'No')	<input type="checkbox"/> Yes <input type="checkbox"/> No
11. I/We would like to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No
12. I/We would like to receive the Annual Report of companies held by me/us. (Tick the appropriate box. If not marked the default option would be in Physical)	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic
13. I/We have issued a DDPI/POA/registered for eDIS in favour of /with Aditya Birla Money Limited for executing delivery instructions for settling stock exchange trades effected through clearing member/ for executing delivery instruction through eDIS.	<input type="checkbox"/> Option 1: I/We require you to issue Delivery Instruction Slip Booklet to me/us though we have issued DDPI. <input type="checkbox"/> Option 2: I/ We do not require the Delivery Instruction Slip for the time being. However, the Delivery Instruction Slip Booklet should be issued to me/us immediately on my /our request at any later date
14. I/We wish to receive the following documents for Equity /Derivatives Segment a. Rights & Obligations b. Rights and Obligations of the Beneficial Owner and Depository Participant c. Risk Disclosure Document d. Guidance Note e. Policies & Procedures f. Additional (Voluntary) Rights & Obligations g. Terms and Conditions-cum-Registration/Modification Form for receiving SMS Alerts from CDSL Definitions. h. Investor Charter - Stock Brokers & Depository Participant	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
15. I/We wish to receive the following documents for commodities segment a. Rights and Obligations of members, Authorised Person and Clients b. Uniform Risk Disclosure Document (Including Risk Disclosure Document on Options Trading) c. Do's and Don'ts for the investors d. Additional (Voluntary) Rights and Obligations e. Policies & Procedures f. Investor Charter – Stock Brokers	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
16. Communications to be send to (Applicable for Joint Holding Account)	<input type="checkbox"/> Jointly <input type="checkbox"/> Any one of the holder or survivor

10. TYPE OF ACCOUNT (Please tick whichever is applicable)

Status		Sub-Status	
<input type="checkbox"/> Body Corporate <input type="checkbox"/> Banks <input type="checkbox"/> Trust <input type="checkbox"/> Mutual Fund <input type="checkbox"/> OCB <input type="checkbox"/> FIIL <input type="checkbox"/> CM <input type="checkbox"/> FI <input type="checkbox"/> Clearing House <input type="checkbox"/> Qualified Foreign <input type="checkbox"/> Other (Specify)		To Be filled by the DP	
SEBI Registration No. (If Applicable)		SEBI Registration No. date	DD/MM/YYYY
RBI Registration No. (If Applicable)		RBI Approval date	DD/MM/YYYY

DECLARATION CUM ACKNOWLEDGMENT

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

2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

3. I/We have been informed that the standard set of documents has been displayed for information on Stock Broker's designated website www.stocksandsecurities.adityabirlacapital.com and any change in the Rights and Obligations and RDD would be made available on Stock Broker's designated website www.stocksandsecurities.adityabirlacapital.com. I/We have been also informed that any change in the 'Policy and Procedures', 'tariff sheet' and all the non mandatory documents would be duly intimated to me/ us and also displayed for information on the Stock Broker's designated website www.stocksandsecurities.adityabirlacapital.com

I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), Rights and Obligations of the Beneficial Owner and Depository Participant, 'Risk Disclosure Document' (RDD), 'Guidance Note', 'Policies & Procedures', Tariff Sheet, Additional (Voluntary) Rights & Obligations and all other non-mandatory documents. I/We do hereby agree to be bound by such provisions as outlined in these documents.

4. I/We further confirm to receive the following documents by way of a separate booklet for Equity / Derivatives Segment.

- a. Rights & Obligations
- b. Rights and Obligations of the Beneficial Owner and Depository Participant .
- c. Risk Disclosure Document
- d. Guidance Note
- e. Policies and Procedures
- f. Additional (Voluntary) Rights & Obligations
- g. Terms and conditions-cum-Registration/Modification Form for receiving SMS Alerts from CDSL Definitions.
- h. Investor Charter - Stock Brokers & Depository Participant
- i. Policy on Risk Management and Handling of Good Till Cancelled Orders (GTC).

5. I/We further confirm to receive the following documents by way of a separate booklet for Commodity Segment:

- a. Rights and Obligations of members, Authorised Person and Clients
- b. Uniform Risk Disclosure Document (Including Risk Disclosure Document on Options Trading)
- c. Do's and Don'ts for the investors
- d. Additional (Voluntary) Rights and Obligations
- e. Policies & Procedures
- f. Investor Charter - Stock Brokers
- g. Policy on Risk Management and Handling of Good Till Cancelled Orders (GTC).

6. I / We have read the Rights and Obligations document (Annexure 2.7) and terms & conditions (Annexure 2.4) and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me / us in this form. I/We further agree that any false/misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

7. I / We willingly give my consent to ABML to accept copy of my Aadhaar card as Address proof and proceed with the application.

Authorised signatories (Enclose a Board Resolution for Authorised Signatories)

Sole /First Holder	Name	Signature of the Authorised Signatory with Seal
First Signatory		12
Second Signatory		
Third Signatory		
Mode of operation for Sole/First Holder (In case of Joint Holdings, all the holders must sign) <input type="checkbox"/> Any one Singly <input type="checkbox"/> As per resolution <input type="checkbox"/> Jointly by <input type="checkbox"/> Others (Please Specify)		

Notes :

1. In case of additional signatures, separate annexures should be attached to the application form .
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Strike off whichever is not applicable

TARIFF DETAILS

SCHEDULE OF TRADING CHARGES

Details of Charges	Standard Rate	Agreed Rate
Account Opening Charge	Rs.750	
Brokerage-Equity-Intra Day	0.05%	
Brokerage-Equity-Delivery	0.50%	
Brokerage-Equity Derivatives-Futures	0.05%	
Brokerage-Equity Derivatives-Options	2.5% of premium or Rs. 100 per lot (whichever is higher)	
Brokerage-Currency Derivatives-Futures	0.05%	
Brokerage-Currency Derivatives-Options	2.5% of premium or Rs. 100 per lot (whichever is higher)	
Minimum Brokerage/per Share*	5 paise per share	
*If brokerage levied as a percentage on the value of the shares/contract is less than the agreed brokerage payable per share/contract, you will be charged minimum rate of brokerage per share instead of the percentage.		
A minimum brokerage of Rs.20 per executed order will be charged subject to a maximum of 2.5% of the traded value		
Commodity Account Tariff Details		
Delivery Brokerage	0.5%	
Buying and Selling of Derivative Contracts	0.05%	

*The delivery charges for Bullion/Metals and Agricultural commodities varies as per exchange norms and guidelines

*The delivery Brokerage will vary according to the commodity intended for delivery

DP TARIFF STRUCTURE

Description	<input type="checkbox"/> Normal Scheme Tariff
LIFE TIME AMC	Nil
Annual Maintenance Charges	Rs.450/- for Individuals and Rs.1000/- For corporates
Transaction Fee -Market trades & Off-Market Trades	Within ABML Rs.30/-, External Broker min Rs.30/- or 0.03% on value of securities max Rs.1000/-
Pledge Creation	Rs.50/-
Pledge invocation / Closure / Confirmation	
Demat Charges	Rs.5 .00/- per certificate plus Rs.50 /- per request
Demat / Remat / Delivery Instruction Slip Rejection Charges	Rs.50/- Courier cost
Remat Charges	A flat fee of Rs.15/- per certificate or Rs.15/- for every hundred securities or part thereof, whichever is higher subject to a maximum fee of 500000 plus Rs. 50 /- courier charge
DIS Book Issue Charges	First Book Free, Rs. 50/ for additional Book

13 Signature of the Authorised Signatory with Seal

Margin Pledge Creation/ Closure/ Invocation	Rs.15/-per ISIN
MTF Margin Pledge Creation/Closure/Invocation	Rs.30/-per ISIN
CAS Dispatch Charges	Actual Depository Charges
Destat - Conversion of MF units represented by SOA into dematerialized form	Flat fee of Rs.10/- per transaction plus Courier Charges Rs.50/
Restat -Conversion of Demat MF units into SOA	
NDU Charges	Minimum Rs. 50/- per request or 0.015% on transaction value plus Rs. 50/- whichever is higher payable by the borrower for NDU request accepted by the lender

Note: Goods and Service Tax, Stamp Duty and other regulatory charges would be charged as per prevailing Govt rules & regulations from time to time, on above charges.

Terms and Conditions :

1	All other delivery/dispatch charges incurred by DP from time to time will be recovered.	7	Client shall at all times maintain a minimum balance of Rs.1000/- in his account to meet various dues pertaining to trading/demat accounts.
2	Document handling charge of Rs.25 shall be applicable to delivery of all documents in physical mode. However if a customer who has opted to receive documents in electronic mode receives documents in physical mode (due to bounce of mails or otherwise), document handling charge of Rs. 50 shall be applicable.	8	Account opening charges would not be refunded if the account is not opened due to non-submission of required details/documents by client.
3	In case the total brokerage earned per segment per exchange is not exceeding Rs. 50/- then a sum of Rs. 50/- or such other sum as may be decided by the Stock Broker will be charged per segment per exchange as minimum processing fee.	9	As Borrower of funds, the Client authorizes the Company (ABML) to charge interest at the rate of 24% on the amounts lent by the Company to the client under Funding Facility. The client hereby agrees that the Funding Facility offered is in the nature of an interest bearing loan towards fulfilling client's obligations. Interest rate for such lending activity is subject to change. Changes would be communicated by the Company to clients through e-mail /website display / sms / ordinary post and such communication shall suffice as notice of change in interest
4	Brokerage rates and Depository tariff indicated above are exclusive of all statutory levies/ taxes and charges levied by Exchanges/Depositories. Statutory levy/tax and/or exchange/depository charges (if any) will be levied separately.	10	An account opening fee of Rs. 750/- Is applicable unless the same is waived based on the scheme chosen by the client. The fee is also applicable if the Client fails to comply with the terms & conditions of a specific scheme.
5	Shares transferred on account of inter - settlement / inter exchange/dues (custodial) to beneficiary account would be charged at Rs. 20 per ISIN. Brokerage rates/Taxes/Levies/Service standards are subject to change.	11	Standard brokerage as mentioned above would automatically be applicable in case tariff is not agreed upon for any segment/ exchange.
6	Stock Broker/Depository Participant shall have the sole discretion to change applicable Brokerage rate on securities transactions /Taxes/Levies /Tariff. Changes (if any) would be communicated to clients through e-mail /ordinary post /website Upload /SMS and such communication shall suffice as notice of change in Brokerage rates/Interest /Taxes /Levies / Tariff.	12	Any deviation in the brokerage/volume commitment (basis which a lower brokerage is charged) will result in revision of the lower brokerage rate to standard rate of brokerage (rack rates) as specified in the tariff sheet above or the maximum statutory brokerage specified by SEBI/Exchanges with retrospective effect.
		13	Bank charges like NEFT / RTGS / Cheque return charges shall be borne by the client only.
		14	Additional services (if any) would be charged Separately.

VOLUNTARY AUTHORIZATION LETTER

To:

Aditya Birla Money Limit

Sai Sagar, 2nd & 3rd Floor, Plot No. M7, Thiru-Vi-KA
(SIDCO), Industrial Estate, Guindy, Chennai 600 032

1. Running Account Authorization

I/We request you to maintain my/our trading account on a running account basis & retain the available credit balance i.e. funds towards my/our margin/pay-in/other future obligation(s) on all segments(s) of Exchange(s)/Clearing Corporation unless I/We instruct you otherwise. I/We agree that no interest need be paid in respect of funds so retained by you.

I/We request you to settle my funds once in ☐ Calendar Month or ☐ Calendar Quarter or such other higher period allowed by SEBI/Exchange (s) from time to time.

I/We also authorize you to transfer/adjust all the additional funds and securities lying to my/our credit in my/our trading account against my/our settlement obligations in any of the segments in any of the Exchanges in which I/We have opted to trade.

I/We confirm that this running account authorization can be revoked by me at any point of time.

2. Authorization for Sending documents through E-Mail

I hereby authorize you to send any and all documents pertaining to my trading/depository account (including but not limited to Electronic Contract Notes/Statement of Funds and Securities/Margin Bills etc./Notices/Letters/Trade Confirmation / Circulars / Amendments / Statement of Transaction / Statement of Holding/ Rejection Intimation / Bills / Amendments / Debit - Credit Intimations etc.)

E-Mail ID:

I/We hereby declare that I/We have read and understood Additional Rights and Obligations pertaining to Delivery of Documents and agree to the same.

3. Contact Number Declaration

I/We confirm and declare that the contact number(s) given in the KYC Form or any updation thereto (either in writing or through internet) belong to me/my relative/my acquaintance and as such authorize you to either call or send any/all information pertaining to my/our trading/demat accounts and/or any promotional material related to financial products manufactured/ distributed by you or your group/associate companies (including but not limited to alerts/ confirmations/passwords/research recommendations/intimation of account balances/commercial communication etc.) on the said contact numbers.

I/We further confirm that I/We will neither hold you or your service provider liable nor will institute complaint under the Telecom Commercial Communications Customer Preference (TRAI) Regulations 2010 or such other applications legislations including amendment thereof.

I/We further agree and confirm to the applicability of all Regulations/Rights and Obligations/Circulars issued by SEBI/ Exchanges/Depositories and Additional Rights and Obligations pertaining to receipt of communication on contact numbers in addition to this declaration.

4. Authorization to debit various Depository Charges

I/We confirm and consent for debiting any and all depository charges (including but not limited to schedule of charges agreed upon by me/inter-settlement charges/statutory charges/taxes etc.) to my/our trading account irrespective of the balance in my trading account.

I further confirm that once the charges are debited to my trading account and the same shall be treated like any other trading debit and as such authorize you to recover the same from available balances in my trading account, including sale of securities available to my credit in margin/dues/demat account (s).

(Please sign here, incase if you are accepting all the above clauses.)

15 Signature of the Authorised Signatory with Seal

Date: _____

Voluntary Document
Suitability Assessment cum Declaration

I/We confirm that trading in equity/derivative contracts is appropriate or suitable for me/us. Further by signing this document, I/we confirm that I/we have been apprised of the risks involved in investing in securities market and in particular all types of derivative contracts.

I/We confirm that there is no assurance on profits or any fixed or guaranteed return while executing transactions in the securities market /commodities market. I/We confirm that the research recommendations disseminated by ABML through its employees/associates are incidental to its stock broking services and transactions affected basis the same are in good faith and are I/we authorize the same.

I/We also confirm that I/we will not hold ABML or its group companies, associates or any of its employees, directors, officers or sub brokers/authorized persons responsible or liable for any direct or indirect, punitive, special or exemplary damages, for any profit /loss arising or resulting due to transactions effected in my/our trading /demat account.

I/We may, in advance, instruct the dealer for placement of orders in my/our trading account basis market events/market view/ recommendations and I/we may not be available for re-confirmation on such order placement. I/We also understand that all orders placed in the derivative segment/trade confirmations with account balances are sent to my registered mobile number. I/We also understand that contract notes, margin bills, statement of accounts, profit and loss statements, statement of transactions / holding (if any) are sent to my/our registered e-mail id and I/we shall bring any discrepancy therein to your notice within 24 hours from the date of receipt of the said details / documents, in writing, failing which it shall be legally construed that the transactions have been effected by me/us and I/we shall not challenge the same in any forum / court of law. I/We further confirm the levy of interest on the amounts lent by the Stock Broker towards securities transactions / commodities transactions and / or margin requirements and payable by me/us in my trading / demat accounts as agreed by me/us in the tariff sheet and I/we undertake not to challenge the levy of such Interest at a later point of time.

I/We further agree that I/we may acknowledge net positions / statement of accounts / statement of transactions / profits and loss statements by affixing my/our signature on the said documents and that would amount to confirmation of transactions effected in my/our trading account and would not be disputed in any manner at any point of time. I have been informed and I acknowledge that ABML does not authorize any of its employees/Authorised Person/employees of Authorised person to send any details / documents pertaining to my/our trading / demat accounts and I/we shall not depend upon or take into consideration any mail / document shared through mobile or any other modes of communication except the mails / documents received from the below mentioned email ids and my/our reliance to such communication shall be at my own risk and shall not in any way bind the company.

Documents	E Mail ID
Contract Note	ereports.stocksandsecurities@abm.adityabirlacapital.org care.stocksandsecurities@adityabirlacapital.com
Demat transaction statement and holdings	dptransaction.stocksandsecurities@abm.adityabirlacapital.org care.stocksandsecurities@adityabirlacapital.com
Statement of accounts	ebills.stocksandsecurities@abm.adityabirlacapital.org care.stocksandsecurities@adityabirlacapital.com

I understand that ABM Employees / Authorized Persons or their Employees are not authorized to offer fixed/ guaranteed/regular returns/ capital protection / investment advisory / recommendation services through any mode including verbal/ digital (SMS/ Whatsapp/email or any other messaging services) and also are not authorized to enter into any loan agreement with me to pay interest on the funds offered by me. I undertake to evaluate recommendation / advise if any, received through any mode and take informed decisions before investing. I understand that ABML shall not be responsible for any loss arising thereof. I also undertake not to initiate any legal proceeding including vicarious liability basis the above.

I understand that surveillance department of ABML on a random basis will seek confirmation as to whether am trading through my trading account and affirmative confirmations to that effect would be deemed by ABML as confirmation of all transactions effected in my account and I undertake not to challenge the same in any manner at a later point of time as the transactions are owned by me upon such confirmation. I confirm having read and understood all the contents of the suitability assessment cum declaration as given here in above and I agree to the same.

Risk Profile : ☐ Aggressive ☐ Moderate ☐ Conservative

DEMAT DEBITAND PLEDGE INSTRUCTION – VOLUNTARY DOCUMENT

This Demat Debit and Pledge Instruction (herein referred after to as DDPI) is made on the date and place mentioned hereunder by individuals/entities mentioned in Schedule 1 hereunder (hereinafter referred to as Client (s)) in favour of Aditya Birla Money Limited, company incorporated under the provisions of the Companies Act, 1956 and having its registered office at Indian Rayon Compound, Veraval - 362 266, Gujarat and corporate office at Sai Sagar, 2nd & 3rd Floor, Plot No. M7, Thiru-Vi-Ka (SIDCO), Industrial Estate, Guindy, Chennai 600 032, Tamil Nadu (hereinafter referred to as ABML which expression shall unless repugnant to the context thereof mean and include its successors and assigns) acting through its Directors and /or such other persons as may be authorised by ABML in this regard from time to time.

Whereas ABML is a SEBI registered Stock Broker / Stock Broker & Depository Participant and is providing stock broking / depository services (both internet and non-internet based) to its clients / customers through its branch / franchisee / website (currently www.stocksandsecurities.adityabirlacapital.com) or through any other website/mobile application etc. The details of Principal account / Clearing Member account / Early payin / Pool / Margin Pledge accounts /CMBP ID currently maintained by ABML is provided in Schedule 2 and 3.

Whereas, the Client (s), is / are desirous of availing various broking / depository (both internet based and not internet based) services being offered by ABML through its branch / franchisee network / website (currently www.stocksandsecurities.adityabirlacapital.com) or through any other website / mobile application etc. and for the purpose of facilitating the transactions / services in broking / depository in a seamless manner, the Client (s) authorise ABML to do, execute, and perform severally the following acts, deeds, things etc by accessing the beneficial owner account (s) of Client (s):

S. No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	
4.	Tendering shares in open offers through Stock Exchange platforms	

The details provided in Schedule 1 may be altered/modified by Client (s) and the details provided in Schedule 2 and 3 may be altered by ABML, by giving notice of 7 working days to the Client(s).

Client(s) do hereby agree that all acts, deeds and things committed by ABML under this DDPI POA shall be construed as acts, deeds and things committed by him/them and the Client(s) ratify and confirm that all such acts deeds, things and whatsoever undertaken by ABML for and on behalf of Client(s) by virtue of these presents.

I/We have executed this DDPI at Chennai on the date, month & year mentioned hereunder

Name of Client (s)	
Address of Client (s)	
Trading Account No.	
Depository Participant Name	Aditya Birla Money Limited
DP ID	12037600 / IN301696
Demat Account No.	
Date	

SCHEDULE 2		SCHEDULE 3	
S.No.	Designated Broker Pool	Designated Broker Margin Pledge Accounts	Clearing Corporation Margin Pledge Accounts/ Early Payin Account
1	NSE - IN301696 10000022	12037600 01196616	IN001002 10009132
2	BSE – IN301696 10016929	12037600 01196523	11000011 00020926
3	NSE -12037600 01197337	IN301696 12438302	IN001184 10000012
4	BSE- 12037600 01197662	IN301696 12438319	IN001176 10000029
5	NSE- CMBP ID- IN557962		11000011 00021155
6	BSE- CMBPID -IN601847		

For Aditya Birla Money Limited

Authorised Signatory

CONSENT FORM FOR RECEIVING TRADE ALERTS THROUGH SMS AND / OR E-MAIL

Date :

To,

Aditya Birla Money Limited

MCX Member ID : 28730

NCDEX Member ID: 00158

Sai Sagar, 2nd & 3rd Floor, Plot No. M7, Thiru-Vi-Ka (SIDCO)

Industrial Estate, Guindy, Chennai 600 032.

Dear Sir,

Exchanges :	MCX		NCDEX	
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I/we, _____, a Client with Aditya Birla Money Limited, undertake as follows:

1. I/We are aware that Multi Commodity Exchange (MCX) and National Commodity & Derivatives Exchange Ltd (NCDEX) provides the details of the trades executed on its trading platform to the concerned clients/constituents through SMS and E-mail alerts.

2. I/We are aware that the Member has to provide the trade details through SMS/E-mail alerts for my convenience at my request only.

3. I/We here by confirm that I/ we wish to receive the trade alerts through:

- a. SMS : ☐

- b. E-mail :
-

- c. SMS and E-mail ☐

- . I/We do not want to receive any transaction alerts, specify reason _____

- The alerts should be sent on

- a. Mobile Number:

- [illegible]

I/We hereby agree to the terms and conditions specified by MCX vide circulars No. MCX/T&S/165/2012 dated April 26, 2012 and NCDEX vide circular NCDEX/COMPLIANCE-007/2012/093 and circulars/clarifications issued by the Exchange from time to time in this regard. We/I are/am aware that the receipt of SMS/Email alerts on the above mobile number and/or email address can be stopped only on our/my written request. We are also aware that this is an additional facility provided by the Exchange and we shall not solely rely or use such data for any purpose and, Exchange shall not be liable for any direct or indirect loss of any nature because of providing this additional facility.

Client Name: _____ **Signature of the Authorised Signatory with Seal** _____

DECLARATION FOR UPDATING MOBILE NUMBER AND EMAIL ADDRESS FOR TRADING AND DEMAT ACCOUNT
(Only under exceptional circumstances)

To,

Aditya Birla Money Limited

Sai Sagar, 2nd & 3rd Floor, Plot No. M7, Thiru-Vi-Ka (SIDCO)
Industrial Estate, Guindy, Chennai 600 032.

☐ I/We hereby confirm that the mobile number / email id provided by me/us as per KYC belongs to

Mobile		Promoter/ Partner/ Director/ Authorised Signatory/ Karta Co-Parcener
Email		Promoter/ Partner/ Director/ Authorised Signatory/ Karta Co-Parcener

☐ I/We hereby confirm that the mobile number/email id provided by me/us has also been updated to my/our other family member accounts as given below. I request you to kindly update the same mobile number and/or E-mail ID to my/us trading and/or demat account also.

Client Code of the Family Member	Demat ID of the Family Member	Family* Members Name	Mobile Number	Email ID	Relationship with the Client

“Family” for the purpose would mean self, spouse, dependent children and development parents

I/We hereby declare that the changes are true and correct to the best my/our knowledge and belief. I/we further undertake to keep you informed about the changes in the mobile number/email id non-receipt of such updation may be construed that the above given mobile number/email id is valid and subsisting.

in case any of the above information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be held liable for it.

Client Name : _____ Signature of the Authorised
Signatory with Seal _____

Declaration for Transfer of G-Securities"

To,

Date:

Aditya Birla Money Limited

Sai Sagar, 2nd & 3rd Floor, Plot No. M7, Thiru-Vi-Ka (SIDCO)
Industrial Estate, Guindy, Chennai 600 032.

Kind Attn: Compliance Officer – DP

Dear Sir,

I/we, undersigned, having demat account with you as per the details mentioned below, hereby declare that I/we will submit for execution only those transfer instructions which are bonafide and arising out of genuine trade or transfer transaction.

Demat Account Number	12037600 / IN301696
DP Name	Aditya Birla Money Limited
Name of Sole/First Account Holder	
Name of Second Account Holder	
Name of Third Account Holder	

Yours faithfully,

Signature of Sole/First Holder / Authorized Signatory	Signature of Second Holder / Authorized Signatory	Signature of Third Holder / Authorized Signatory

MCX - Categorization of Participants in Commodities Derivatives

Client Code:

Client Name:

Date:

I/ We hereby confirm the following categories:

Various categories of market participants (Tick the appropriate Box)

Commodity	(i) Farmers/FPOs	(ii) Value Chain Participants (VCPs)	(iii) Proprietary traders	(iv) Domestic Financial Institutional Investors	(v) Foreign Participants	(vi) Others
CARDAMOM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CASTORSEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COTTON	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CPO	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MENTHAOIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PEPPER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RBDPALMOLEIN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GOLD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SILVER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ALUMINIUM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BRASS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COPPER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LEAD	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
NICKEL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ZINC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Signature of the Authorised Signatory with Seal _____

Note: In case you are not actively involved in producing/distribution in any particular commodity, you can choose the 'Others' option from the drop - down. Please note that you have to individually select the category of each commodity.

NCDEX - Categorization of Participants in Commodities Derivatives

Client Code:

Client Name:

Date:

I/ We hereby confirm the following categories:

Various categories of market participants(Tick the appropriate Box)

Commodity	(i) Farmers/FPOs	(ii) Value Chain Participants (VCPs)	(iii) Proprietary traders	(iv) Domestic Financial Institutional Investors	(v) Foreign Participants	(vi) Others
BARLEY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CASTOR SEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CHANA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COIRANDER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
COTTON SEED OIL CAKE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GUAR GUM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GUAR SEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
JEERA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
KAPAS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MAIZE RABI	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MOONG	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MUSTARDSEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REF SOYA OIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SOY BEAN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TURMERIC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
WHEAT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Signature of the Authorised Signatory with Seal _____

Note: In case you are not actively involved in producing/distribution in any particular commodity, you can choose the 'Others' option from the drop - down. Please note that you have to individually select the category of each commodity

Part C [Fill any one as applicable - to be filled by NFEs other than		
1	Is the entity is a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions d)	<input type="checkbox"/> No <input type="checkbox"/> Yes (If Yes, Please specify any one Stock Exchange on which the stock is traded regularly) Name of the Stock Exchange _____
2	Is the entity a „Related Entity“ of a listed company [whose shares are regularly traded on a recognized stock exchange] [refer instructions e.]	<input type="checkbox"/> No <input type="checkbox"/> Yes (Please specify the name of the listed company and one stock exchange on which stock is traded regularly) Name of the listed company _____ Nature of Relation: <input type="checkbox"/> Subsidiary <input type="checkbox"/> Controlled Name of the Stock Exchange _____
3	Is the entity an Active NFE?	<input type="checkbox"/> No <input type="checkbox"/> Yes Nature of business _____ Please specify sub-category of Active NFE <input type="checkbox"/> <input type="checkbox"/>
4	Is the entity a Passive NFE?	<input type="checkbox"/> No <input type="checkbox"/> Yes Nature of business _____ If Yes, fill UBO declaration in the next section

if Passive NFE, please provide the below additional details for each of the Controlling person. *Please attach additional sheets if necessary)*

S No	Name of UBO	Taxpayer Identification Number / PAN / Equivalent ID Number~	Place & Country of Birth	Country of Tax Residence*	Occupation Type [Service, Business, Others.]	Nationality	Father's Name	Date of Birth dd/mmm/yyyy	Gender [Male, Female, others]
1									
2									
3									

Declaration

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may liable for it. I/We hereby authorize to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to other SEBI Registered Intermediaries /or any regulated intermediaries registered with SEBI / RBI / IRDA or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/us of the same. Further. I/We also undertake to keep you informed in writing about any changes / modification to the above information in future within 30 days and also undertake to provide any other additional information as may be required at your / Fund's end or by domestic or overseas regulators/ tax authorities. We also confirm that we have read and understood the FATCA & CRS Terms and Conditions given below and hereby accept the same

Signature with relevant seal:

Date : _____ Place _____

Authorized Signatory

Authorized Signatory

Authorized Signatory

Aditya Birla Money Limited

Registered Office	Corporate Office
Indian Rayon Compound, Veraval, Gujarat - 362 266.	Sai Sagar, 2 nd & 3 rd Floor, Plot No. M7, Thiru-Vi-Ka (SIDCO), Industrial Estate, Guindy, Chennai 600 032.
National Stock Exchange of India Limited	SEBI Reg No. INZ000172636
Bombay Stock Exchange Limited	
Multi Commodity Exchange of India Limited	
National Commodity and Derivatives Exchange Limited	
Central Depository Services (India) Limited	SEBI Reg. No. IN-DP-17-2015
National Securities Depository Limited	

CLEARING MEMBER (Equity , Equity Derivatives & Currency Derivative Segment of NSE & BSE and Commodity Segment of MCX & NCDEX)	
Aditya Birla Money Ltd. Sai Sagar, 2 nd & 3 rd Floor, Plot No. M7, Thiru-Vi-Ka (SIDCO), Industrial Estate, Guindy, Chennai 600 032.	

Chief Executive Officer	Compliance Officer
Mr. ASHOK SUVARNA Telephone No.: +91 - 44 - 49490001 E-mail ID: ceo.stocksandsecurities@adityabirlacapital.com	Mr. Muralikrishnan L R Telephone No.: +91 - 044 - 4949 0014 E-mail ID: abm-chn.compliance@adityabirlacapital.com

Please contact us at the above address or mail us at care.stocksandsecurities@adityabirlacapital.com for trading related queries / dpcare.stocksandsecurities@adityabirlacapital.com for depository related queries or call our customer care department @ Telephone No.(s): +91 - 1800 270 7000. If not satisfied with our response, you may contact the concerned exchange(s) / Depositories(s) at:

Contact details in case of Grievance / Dispute:

Name	Telephone Number	E-mail ID
National Stock Exchange of India Limited	+91-22-2659 8190	ignse@nse.co.in
Bombay Stock Exchange Limited	+91-22-2272 1233 / 4	is@bseindia.com
Central Depository Services (India) Limited	+91-22-2272 3333	complaints@cdslindia.com
National Securities Depository Limited	+91-22-2499 4200	relations@nsdl.co.in
Multi Commodity Exchange of India Limited	+91-22-6731 8888	grievance@mcxindia.com
National Commodity and Derivatives Exchange Limited	+91-22-6640 6609	askus@ncdex.com

Most Important Terms and Conditions (MITC)

(For non-custodial settled trading accounts)

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

1 _____ 2 _____ 3 _____
Signature(s) of Account Holder(s)

Aditya Birla Money Limited

Corporate Office: Sai Sagar, 2nd & 3rd Floor, Plot No. M7, Thiru-Vi-Ka (SIDCO), Industrial Estate, Guindy, Chennai 600 032.

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