



Account Opening Form (Non - Individual)

Broking & Depository Services

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

Any Comment For Account Opening Team Purpose	Sr. No. ECINNV01716
Login ID / UCC : <input type="text"/>	LEAD ID: <input type="text"/>
Depository Service : <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL (Select any one)	Wire ID: <input type="text"/>
CDSL-Client ID <input type="text"/>	NSDL-Client ID <input type="text"/>

	NAME	CODE
Marketing Executive (E1)		<input type="text"/>
Relationship Manager (E2)		<input type="text"/>
Remiser (if any)		<input type="text"/>
Branch/ FAN		<input type="text"/>
Sourcing Channel		<input type="text"/>
Online software for trading. <input type="checkbox"/> Yes <input type="checkbox"/> No	(If No) TT Manager ID:	<input type="text"/>

Process	Employee Code & Name	Process	Employee Code & Name
Pre-Audit Maker		Data Entry Maker	
Pre-Audit Checker		Data Entry Checker	

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		Part II - Document captures the additional information about the constituent relevant to trading & demat account and Client Declaration an instruction/check list.	8-13	
2.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading and demat account on the stock exchange(s)/ depository.	14-15	
3.	Rights & Obligations of Stock Brokers, Sub-Broker / AP & Clients	Document stating the Rights & Obligations of stock broker / trading member, sub-broker / AP and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	Included in Client Copy	
4.	Rights & Obligations of Beneficial Owner & Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.		
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.		
6.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.		
7.	Policies and Procedures	Documents describing significant policies and procedures of IIFL related to Trading Account of the client.		
SECTION-B - VOLUNTARY DOCUMENTS - AS PROVIDED BY STOCK BROKER/ DEPOSITORY PARTICIPANT				
1.	Terms & Conditions cum Registration form for receiving SMS Alerts from Depository	Terms and Conditions-cum-registration / Modification form for receiving SMS Alerts from CDSL.		Included in Client Copy
2.	Terms & Conditions For Distribution of Securities	Terms & Conditions for Distribution of Securities		
3.	Mutual Fund Trading Services	Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUAL FUND offered by NSE and BSE respectively		
4.	SIP in Mutual Fund and Securities	Terms and conditions for availing systematic investment plan in Mutual Fund and Securities		
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INSTRUCTIONS/ CHECK LIST FOR FILLING KYC FORM**A. IMPORTANT POINTS:**

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

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

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

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

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
3. Bank Account Statement/Passbook -- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII / sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.
9. POA for Resident Individual Constituent opting for only Securities Segment under Saral KYC Form would be obtained vide SEBI CIR/MIRSD/1/2015 dated March 04, 2015.

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

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

PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

INSTRUCTIONS/ CHECK LIST FOR ACCOUNT OPENING FORM - TRADING ACCOUNT

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

Copy of ITR Acknowledgement In case of salary income - Salary Slip, Copy of Form 16 Copy of demat account holding statement. Any other relevant documents substantiating ownership of assets.	Copy of Annual Accounts Net worth certificate Bank account statement for last 6 months Self declaration with relevant supporting documents.
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**In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.*

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

NOTES

1. All communication shall be sent at the correspondence address/ mobile number/ e-mail ID of the Sole/ First Holder only.
2. Thumb impressions and signature other than English or Hindi or any of the other language not contain in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination are as below:
 - I. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - II. A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - IV. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository against the legal heir.
 - VI. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.

- VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository/ participant shall not be under any obligation to transfer the securities in favour of the Nominee.
4. for receiving statement of account in electronic Form:
- I. Client must ensure the confidentiality of the password of the Email account/Mobile.
 - II. Client must promptly inform the IIFL Securities Limited if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly. IIFL Securities Limited may also terminate this facility by giving days prior notice
5. Strike of whichever is not applicable.

ADDITIONAL INSTRUCTIONS

- 1 **Minor:** Trading A/c cannot be opened in name of Minor; Demat A/c - Joint a/cs not permitted with minor; PAN and Proof of Address of both Minor and Guardian to be submitted
- 2 **Trading A/c** cannot be opened in joint names.
- 3 All **corrections** on the form should be countersigned with full signature. White ink is not allowed either in form or authorization.
- 4 In case of an employee of another Member Broker, NOC from employer is required.

Please note that the mode of payment should be only by way of account payee crossed cheques/Demand draft in favour of "IIFL Securities Limited - (Client's Login id)". No cash receipts payments will be entertained for any transactions made by the client. IIFL will not be responsible for any kind of claims raised by the clients regarding payment made in cash. Mobile number is advisable for opening of Demat/ Trading account with IIFL.

OTHER INFORMATION ABOUT IIFL

LIST OF DESIGNATED BANKS (RETAIL)

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

LIST OF DESIGNATED DEPOSITORY PARTICIPANTS

1. IIFL SECURITIES LIMITED

LIST OF DESIGNATED BANKS FOR PIS BANK ACCOUNTS (FOR NRI)

- | | | |
|------------------|-----------------|-------------|
| 1. AXIS BANK | 2. HDFC BANK | 3. Yes BANK |
| 4. INDUSIND BANK | 5. FEDERAL BANK | 6. DCB BANK |

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

DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENT:

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

Bank Verification Format

To,
IIFL SECURITIES LIMITED
Mumbai.

Dear Sir,

This is to certify that _____ (Name of the Client) Resident of _____
(Full Address) is holding a debit card no. _____ with our _____ Branch since _____.

The bank hereby certify and validate the bank accounts linked to the above debit card as per bank records is given below. Further the client undertakes to provide new bank verification letter in case of linking additional bank account no.

Account No.	Bank & Branch Details	IFSC Code	MICR Code

Authorised Signatory

(Bank Stamp and Bank official Details)



Client Signed in my Presence and attested : _____

Name of Bank Manger: _____

Signature of Branch manager: _____

Micr code of Branch _____

Intentionally left blank

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

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS

1. Name First Middle Last

2. Father/Spouse Name First Middle Last

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

4. a. Nationality:

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

5. a. PAN C O M P U L S O R Y

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

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

7. Relationship of Guardian with Minor _____ Date of Birth of Minor DD MM YY YY YY

B. ADDRESS DETAILS

1. Address for Correspondence

City/ Town/ Village PIN Code

State Country

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

Mobile C O M P U L S O R Y Fax

E-mail ID C O M P U L S O R Y

3. Specify the Proof of Address submitted for Correspondence Address _____
Document No. _____

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

City/ Town/ Village PIN Code

State Country

5. Specify the Proof of Address submitted for Permanent Address _____
Document No. _____

C. OTHER DETAILS

1) Gross Annual Income Details: (Please specify)

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

b) Networth Rs. _____ as on DD MM YY YY YY (Networth should not be older than one year)

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

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

Nature of Business _____

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

4) Any other information: _____

DECLARATION

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

 Signature of Sole/ First Holder 

 Date DD MM YY YY YY

FOR OFFICE USE ONLY

IIFL Securities Limited

(Originals verified) Self certified Documents copies received.
 (Attested) True copies of Documents received.






Staff Name _____
 Designation _____
 Signature _____
 Date _____

IPV Done on DD MM YY YY YY

Seal/Stamp of IIFL
 Staff Name _____
 Designation _____
 Signature _____
 Date _____

**DETAILS OF PROMOTERS/PATNERS/KARTA/TRUSTEES/ WHOLE TIME DIRECTOR AND AUTHORISED SIGNATORY
FORMING A PART OF KNOW YOUR CLIENT (KYC) KYC APPLICATION FROM FOR NON-INDIVIDUAL**

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	Name	Relationship with applicant (i.e. Promoters, Beneficiary/ Whole time Directors, etc.)	PAN	Resi./Regd. Address	DIN (For Directors)/ UID (For Others)	Whether Politically Exposed	Photograph				
1.					<table border="1"> <tr> <td>DIN (For Directors)</td> <td></td> </tr> <tr> <td>UID (For Others)</td> <td></td> </tr> </table>	DIN (For Directors)		UID (For Others)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Please sign across the Photograph  </div>
DIN (For Directors)											
UID (For Others)											
2.					<table border="1"> <tr> <td>DIN (For Directors)</td> <td></td> </tr> <tr> <td>UID (For Others)</td> <td></td> </tr> </table>	DIN (For Directors)		UID (For Others)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Please sign across the Photograph  </div>
DIN (For Directors)											
UID (For Others)											
3.					<table border="1"> <tr> <td>DIN (For Directors)</td> <td></td> </tr> <tr> <td>UID (For Others)</td> <td></td> </tr> </table>	DIN (For Directors)		UID (For Others)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Please sign across the Photograph  </div>
DIN (For Directors)											
UID (For Others)											
4.					<table border="1"> <tr> <td>DIN (For Directors)</td> <td></td> </tr> <tr> <td>UID (For Others)</td> <td></td> </tr> </table>	DIN (For Directors)		UID (For Others)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Please sign across the Photograph  </div>
DIN (For Directors)											
UID (For Others)											
5.					<table border="1"> <tr> <td>DIN (For Directors)</td> <td></td> </tr> <tr> <td>UID (For Others)</td> <td></td> </tr> </table>	DIN (For Directors)		UID (For Others)		<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> N.A.	<div style="border: 1px solid black; padding: 5px; text-align: center;"> Please sign across the Photograph  </div>
DIN (For Directors)											
UID (For Others)											

Name & Signature of the Authorised Signatory(ies) _____

Date:

D	D	M	M	Y	Y
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 PEP: Politically Exposed Person RPEP: Related to Politically Exposed Person

PART II - ACCOUNT OPENING FORM

IIFL Securities Limited, IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, MIDC, Thane Industrial Area, Wagle Estate, Thane - 400 604 • Tel: (91-22) 3929 4000/ 4103 5000 • Fax: (91-22) 2580 6654

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

1. TRADING PREFERENCE
STOCK EXCHANGE(S) & SEGMENT ON WHICH YOU WISH TO TRADE:

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

Name of the Exchange Name of the Segment	NSE	BSE	MCX	NCDEX
Capital Market	<input checked="" type="checkbox"/> 2/24	<input checked="" type="checkbox"/> 8/24	NA	NA
Stock Futures & Options	<input checked="" type="checkbox"/> 3/24	<input checked="" type="checkbox"/> 9/24	NA	NA
Currency Derivatives	<input checked="" type="checkbox"/> 4/24	<input checked="" type="checkbox"/> 10/24	NA	NA
Debt	<input checked="" type="checkbox"/> 5/24	<input checked="" type="checkbox"/> 11/24	NA	NA
MFSS/BSE StAR	<input checked="" type="checkbox"/> 6/24	<input checked="" type="checkbox"/> 12/24	NA	NA
Commodity Futures & Options	<input checked="" type="checkbox"/> 7/24	<input checked="" type="checkbox"/> 13/24	<input checked="" type="checkbox"/> 14/24	<input checked="" type="checkbox"/> 15/24

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

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

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

1) Gross Annual Income Details: (Please specify)

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

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

3. PAST ACTIONS

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

Particulars	Name of Authority	Month & Year of Action

4. DEPOSITORY ACCOUNT DETAILS

Depository Participant Name and Address	<input type="text"/>
Depository Name	<input type="text"/>
DP ID	<input type="text"/> BO Account Number: <input type="text"/>
Beneficiary Name	<input type="text"/>

5. COMTRACK ACCOUNT DETAILS :

CP Name & Address :	<input type="text"/>
CP ID :	<input type="text"/>
CMS (E) ID :	<input type="text"/>

6. COMRIS ACCOUNT DETAILS :

Comris Name & Address :	<input type="text"/>
ComRIS ID :	<input type="text"/>

7. DEALINGS THROUGH SUB-BROKERS / AP AND OTHER STOCK BROKERS

Sub-broker's / AP Name & Code:	If client is dealing through the sub-broker / AP provide the following details:	
Registered office address:	<input type="text"/>	
SEBI / AP Registration No.:	<input type="text"/>	Website: <input type="text"/>
Authorised Person's Code :	<input type="text"/>	
Name :	<input type="text"/>	
Address :	<input type="text"/>	
Name of stock broker:	<input type="text"/>	
Name of Sub-Broker / AP, if any:	<input type="text"/>	
Client Code:	<input type="text"/>	Exchange: <input type="text"/>
Whether dealing with any other stock broker/sub-broker / AP (if case dealing with multiple stock brokers/ sub-broker / APs, provide details of all		
<input type="text"/>		
Details of disputes/dues pending from/to such stock broker/sub- broker / AP: _____		

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

I/We wish to avail the SMS/Email alert facility offered by respective Exchanges showing details of my daily transactions executed through IIFL Securities Ltd. (IIFL) on my e-mail id/ mobile no. provided in KYC Form.

(The above facility is provided by Exchanges and will be activated once the details are verified by Exchanges and confirmed by you)

Client's signature

16/24

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

Bank Name	<input type="text"/>																				
Branch Address	<input type="text"/>																				
City	<input type="text"/>										Country	<input type="text"/>									
State	<input type="text"/>					PIN Code	<input type="text"/>					Tel.	<input type="text"/>								
Bank A/c No.	<input type="text"/>										MICR No.	<input type="text"/>									
A/c Type:	<input type="checkbox"/> Savings		<input type="checkbox"/> Current		<input type="checkbox"/> Others - in case of NRI/ NRE/ NRO (specify)													<input type="text"/>			
IFSC Code	<input type="text"/>																				


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

(A) RBI Approval Ref No.:	<input type="text"/>										(B) RBI Approval Date:	<input type="text"/>									
SEBI Regd. No. (For FIIs):	<input type="text"/>										SEBI Registration Date:	<input type="text"/>									
Currency	<input type="text"/>																				
Foreign Address	<input type="text"/>																				
City	<input type="text"/>										Country	<input type="text"/>									
State	<input type="text"/>					PIN Code	<input type="text"/>					Tel.	<input type="text"/>								
Mobile	<input type="text"/>										Fax	<input type="text"/>									
Website	<input type="text"/>																				

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

Name of the Exchanges	<input type="text"/>																				
Name of the CC / CH	<input type="text"/>																				
Trading ID	<input type="text"/>					Clearing Member ID	<input type="text"/>														
SEBI Regd. No.	<input type="text"/>					CM-BP ID (to be filed-up by participant)	<input type="text"/>														

4. INTRODUCER'S DETAILS

Status Of Introducer	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Existing Account Holder <input type="checkbox"/> Bank Official <input type="checkbox"/> IIFL Employee <input type="checkbox"/> AP <input type="checkbox"/> Any Other Person																				
	<input type="text"/>																				
Introducer's Name:	<input type="text"/>																				
Address	<input type="text"/>																				
City	<input type="text"/>										Country	<input type="text"/>									
State	<input type="text"/>					PIN Code	<input type="text"/>					Tel.	<input type="text"/>								
Occupation	<input type="text"/>										PAN	C O M P U L S O R Y									
DP ID	<input type="text"/>					Client ID	<input type="text"/>					Login ID	<input type="text"/>								
Designation	<input type="text"/>										Employee Code	<input type="text"/>									
Bank & Branch Name	<input type="text"/>																				
Email Id	<input type="text"/>																				
	<input type="text"/>															<input type="text"/>					
																					

Login ID: CDSL DP ID: 12044700 OR NSDL DP ID: IN302269Client ID (To be filed by IIFL) : **C. ADDITIONAL INFORMATION FOR DEMAT ACCOUNT** (Please fill this form in ENGLISH and in BLOCK LETTERS)

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

Date **1. DEPOSITORY SERVICE**

I/We wish to open Depository Account with _____ Please write CDSL or NSDL _____ (CDSL: 12044700 / NSDL: IN302269)

2. DETAILS OF ACCOUNT HOLDER(S)

	Authorised Signatory	Authorised Signatory	Authorised Signatory
Client Name			
PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>
SIGNATURE			

3. TYPE OF ACCOUNT Body Corporate Bank FI Mutual Fund CM FPI Trust Others (Please specify) _____

SEBI Registration No. _____ SEBI Registration Date : _____

RBI Registration No. _____ RBI Registration Date : _____

4. SUB - TYPE OF ACCOUNT FPI I FPI II FPI III OCB Clearing House Others (Please specify) _____**5. For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the demat account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:**a) Name b) PAN

6. STANDING INSTRUCTIONS

- a. I/We authorise you to receive credits automatically into my/our account Yes No
- b. Do you wish to receive dividend/interest directly to your bank account given herein through ECS? Yes No
- c. Account to be operated through Power of Attorney (PoA) Yes No
- d. I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued Power of Attorney in favour of IIFL Securities Limited for executing delivery instructions for settling transactions executed through IIFL Securities Limited. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date. Yes No
- e. **SMS ALERT FACILITY** On registered Mobile Number (Mandatory if you are giving Power Of Attorney (POA). Ensure that the mobile number is provided in the KYC application form.) Yes No
- f. I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') Yes No
- g. I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID Yes No
- h. I / We would like to share the email ID with the RTA Yes No
- i. I/We wish to receive/Dividend/interest directly in to my bank account as given below through ECS (if not marked, the default option would be "yes") Yes No
(ECS is mandatory for location notified by SEBI from time to time)
- j. I/We would like to maintain running account authorisation with IIFL Securities Ltd. Yes No
- k. I/We like to avail internet trading facility. Yes No
If yes, please contact your DP for details
- l. easi facility [Facility through CDSL's website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.] Yes No

- m. Account Statement Requirement: As per SEBI Regulations Daily Weekly Fortnightly Monthly
- n. Whether you wish to receive: Physical contract note Electronic Contract Note (ECN)
- o. I/We would like to receive Annual Report in Physical Electronic Both
- p. I/We would like to receive Statment of Account / Holding Statment / Daily Margin Statment / All Other Statement Physical Electronic
- q. Funds & Securities settlement frequency Quarterly Monthly
- r. I/We would like to receive Client Copy in Physical Electronic
- s. I/We wish to receive following documents in Physical Electronic
- Rights and Obligations of Stock Rights and Obligations of Stock Brokers, Sub-Broker / AP / APs and Clients as prescribed by SEBI and Exchanges
 - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
 - Risk disclosure Document for Capital, currency, Stock and Commodity Derivatives Segment
 - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
 - Policies and Procedures applicable to clients.

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
 - Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges
 - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
 - Risk disclosure Document for Capital and Derivatives Segment
 - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
 - Policies and Procedures applicable to clients.
- I/We confirm having received a copy of the following documents and further confirm having read and understood the contents of these documents:-
 - Rights and Obligations of Stock Rights and

I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of IIFL and also intimated to me through circulars in internet trading platform/e-mails. I/We shall keep myself updated of the same.

3. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker, tariff sheet, voluntary & non voluntary documents.

I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of IIFL and also intimated to me through circulars in internet trading platform/e-mails. I/We shall keep myself updated of the same.

4. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such account.






5. In case non resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulation. I have informed the Bank that I will

be trading through IIFL Securities Limited (IIFL) and to honor all relevant requests. If Bank has not mapped or Tagged IIFL Securities Limited (IIFL) as my registered broker, IIFL will not be responsible for any defaults thereof.

6. I/hereby consent to receive information from central KYC Registry through SMS/Email on the registered number/email address.

7. I/We the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and/we hereby undertake to comply with the same. I/We hereby declare and undertake that I/we will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time. I/We undertake to inform you and keep you informed if I / any of our partners / directors / karta / trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such person is a partner / director / karta / trustee, takes or holds any position in any commodity forward contract / commodity derivative on Exchanges through or through any other member(s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time. I/We confirm that you have agreed to enter order in commodity forward contracts / commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges / SEBI.

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

Sr. No.	AUTHORISED SIGNATORY NAME	SIGNATURE
1.		
2.		
3.		
4.		
5.		

 Date

MODE OF OPERATION (In case of joint holdings, all the holders/ Authorised Signatories must sign)	
<input type="checkbox"/> ANY ONE SINGLY	<input type="checkbox"/> AS PER RESOLUTION
<input type="checkbox"/> JOINTLY BY	<input type="checkbox"/> OTHERS (PLEASE SPECIFY)

Date: _____

Place _____

TARIFF SHEET
SCHEDULE OF TRADING ACCOUNT CHARGES AND BROKERAGE

<input type="checkbox"/> Rs. 750/-* (inclusive GST) to be reversed against brokerage within 90 days of account opening.	<input type="checkbox"/> Rs. 1000/-* (inclusive GST) to be reversed against brokerage within 1 year of account opening.	<input type="checkbox"/> VAS Scheme (if any)
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**** No charges are payable for opening of demat accounts.**

BROKERAGE (CASH)	Intra-day	Delivery: (Normal) settlement Exchange Trade for Trade and Z group scrip	Brokerage (Futures)	Brokerage (Options) Minimum	Minimum Brokerage	Auction Charges	Liquid Bees	Currency Brokerage (Futures)	Currency Brokerage (Options)
STANDARD RATE	0.05%	0.50% 0.75%	0.05%	1% of Premium or Rs. 100/- per lot whichever is higher	0.05 per share or 0.05% whichever is higher	1.00%		Rs. 25 per lot	Rs. 10 per lot
QUOTED RATE									

SCHEDULE OF BROKERAGE AND OTHER CHARGES

Onetime Registration Fee
A/c opening charge - Rs. 500/-* (inclusive GST) *500/- to be reversed against brokerage within 30 days of account opening.

Product	MCX	NCDEX
	Transaction Charges	Transaction Charges
Agri	Rs. 0.75 Per Lac	Rs. 1.95 Per Lac
Non Agri	Rs.2.1 Per Lac	Rs. 0.4 Per Lac

Brokerage	Standard Brokerage	Quoted Brokerage
First Leg	0.05%	
Square Off	0.05%	
Minimum per unit	Rs. 0.05	
Delivery Normal settlement	0.25%	

Remark : _____

SCHEDULE OF DEMAT ACCOUNT CHARGES AND OTHER CHARGES

A/c Maintenance Charges* : <input type="checkbox"/> Yearly Rs. 400/- + GST	Credit Charges: NIL	Debit Charges: 0.04% (Minimum Rs. 25 per debit transaction)
*The charges will be pro-rated monthly from the month in which the account is opened till the end of the financial year. For subsequent financial years, the same is payable at the beginning of the financial year		
**AMC and other charges will be debited to your ledger on yearly and monthly basis respectively		

Other Charges	Pledge creation	Pledge Closure	DEMAT - Per certificate	REMAT - Per certificate OR Per 100 Units/shares (Whichever is higher)	Conversion of MF units/ Destatmentisation Per SOA	Reconversion of MF units in to SOA or Redemption/ Restatmentisation Per SOA	***Postal Charges per request shall be charged separately	Rejection/ Failure per entry
Standard Charges	Rs. 50	—	Rs. 15***	Rs. 15***	Rs. 15***	Rs. 15***	Rs. 40	—

NOTES :

1. Physical print copy of digital contract note can be availed from the branches.
2. Document handling charge of Rs. 50/- shall be applicable:
 - Customer who has opted for receiving documents by electronic mode: In case such customer also intends to receive documents (contract notes and other related documents) by physical mode.
 - Customer who has opted for receiving documents by physical mode: In case such customer intends to receive additional/duplicate copies of documents (contract notes and other related documents) by physical mode.
This charge may be partly/fully waived off for high networth /large customer at the discretion of IIFL.
3. The above charges are exclusive of GST, Securities Transaction Tax, other charges and stamp duty. The same shall be charged to the Client's account on actual basis.
4. Inter/settlement/ Beneficiary to pool transfer would be charged 0.04% (Minimum Rs. 25) per scrip plus GST.
5. Charges/service standards are subject to revision at sole discretion of IIFL Securities Limited and as informed by communication sent by ordinary post/ E-mail.
6. Value of the transaction will be in accordance with rates provided by Depository.
7. Statutory and other levies being charges related to the execution and/or settlement of transactions shall be separately chargeable as in force from time to time.
8. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
9. Customer is required to maintain a minimum balance of Rs.1000/- in his/ her ledger account.
10. No refund of account opening charges would be given if the account could not be opened due to non submission of complete documents by the client or due to lack of desired co-operation from the client.
11. Management reserves the right to freeze, discontinue or suspend any account if required.
12. In case of buy / sell of same security during the day, the brokerage will be levied on higher side of the transaction amount / price for both intra-day and delivery transactions.
13. Call center service charges of Rs. 100 per call + Applicable GST and other taxes.
14. The minimum aggregate brokerage will be Rs. 25 per scrip per day for delivery trades in cash segment, subject to regulatory caps, as applicable.
15. Brokerage is also applicable on Expiry / Exercise / Assignment of Options and Futures Contract
16. Demat charges shall be applicable for mutual fund transactions.
17. GST details furnished are true and genuine along with proof of GST no. If no GST details furnished then, it shall be deemed that you are unregistered under GST.
18. In case there is any change in correspondence address. We will unless intimated to us, charge GST basis the address available on record. We would not be responsible for any non-receipt/short-receipt of GST credit due to incorrect/inaccurate/incomplete information provided and any loss, damage, cost and/or expenses suffered/incurred by us due to non-reversal of GST credit, act, omission, false statement suppression of fact and/or any breach would be borne by you.

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

	Authorised Signatory	Authorised Signatory	Authorised Signatory
SIGNATURE	19  24		

Branch Official's Name _____ Branch Official's Signature

Date : _____

Place : _____

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

POWER OF ATTORNEY (POA) IN FAVOUR OF IIFL SECURITIES LIMITED

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

WHEREAS IIFL Securities Limited is a member of the National Stock Exchange of India Limited ("NSE"), Bombay Stock Exchange Ltd. (BSE), Multi Commodity Exchange of India Ltd. (MCX), & National Commodity & Derivatives Exchange Ltd. (NCDEX), bearing SEBI single registration number INZ 000164132.

AND WHEREAS IIFL Securities Limited is a Depository Participant with the National Securities Depository Limited (hereinafter referred to as "NSDL") and with Central Depository Services (India) Limited (CDSL) having SEBI registration number IN-DP- 185-2016.

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

AND WHEREAS IIFL Securities Limited as a part of / incidental to the above emblems, is offering distribution of Initial Public Offers/Follow on Public Offers, Offer for Sale, Alternate Investment Funds, Bonds/Debts, National Pension Scheme and other financial products.

AND WHEREAS I/We wish to avail the services offered by IIFL and has entered into necessary documents ("Client Document") with IIFL for availing the various services for transacting and/or investing in securities or other financial products with/without Online trading/E-broking & web based facilities and/or services through its website www.indiaonline.com or any other website used for offering said Services or directly in my account. Details of my/our Trading and Demat account and bank account details with IIFL are provided in the Schedule 2 hereunder. AND WHEREAS for facilitating smooth investments/redemption/operations of the services as mentioned hereunder being availed from IIFL by me/us, I/ We am/ are desirous of appointing IIFL as an attorney and confer upon it powers hereinafter stated.

NOW THESE PRESENTS WITNESS that I/We, do hereby, jointly and severally nominate, constitute and appoint "IIFL Securities Limited"(IIFL) being a Stock Broker and Depository Participant

registered with Securities and Exchange Board of India ("SEBI") and AMFI registered distributor of Mutual Funds ad as distributor of various financial products for distribution of various financial products acting through any of their, officers and/or agents, as my/our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me/ us, in my/our name and on my/our behalf and at my/our risk and costs thereon, exercise and perform all or any of the following acts, deeds and things:

1. To instruct the Depository Participant, being IIFL to transfer securities held in my/our beneficial owner/demat account as provided in Schedule 2 or such other demat account as may be intimated by me/us to IIFL from time to time ("client designated demat accounts") to such demat account of IIFL as provided in Schedule 2 and/or designated by IIFL and intimated to me from time to time ("IIFL designated demat account") towards stock exchange related margin/delivery obligations arising out of trades executed by me/us through IIFL on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
2. IIFL is authorized to facilitate for opening Bank Account and to operate the Bank Account on my behalf in connection with the Trading Account and perform the following functions;
 - i. To withdraw or transfer any sums from the bank Account towards any transactions/obligations to the Exchanges/IIFL, irrespective of debit or credit balance in my ledger statement of trading account;
 - ii. To set-off any sum of monies from the Bank Account against any outstanding amount payable by me/us to IIFL;
 - iii. To prepare sign and submit all the forms, statements and declarations as may be required in respect of the Bank Account and collect cheque books/leaves/bank statement from the bank in respect of the Bank Account opened in connection with the trading/distribution services account opened with IIFL.
3. IIFL is authorize to make investments in various "financial products" as described in IIFL distribution service registration document i.e. Mutual Funds, Alternate Investment Funds, Bonds/Debts, National Pension Scheme and other financial products from the funds available in my ledger account with IIFL or Bank Account or redeem the investments from the above towards meeting my obligations/ledger debits towards facilitating my

investments/disinvestments as authorized above, authorize IIFL:-

- i. To enable the transactions through my designated Broking account/Demat account/Bank account/IIFL ledger account/IPO, Bonds & Debts Account/PAN Account/Direct Investment account from time to time.
 - ii. To sign/execute/submit necessary application/instructions/forms/intimation as may be required by the respective Fund Houses/Institutions/Banks/Issuers etc. through physical or electronic or internet platforms from time to time.
4. To make application and/or issue instruction for creation/invocation/closure of pledge on the securities/units held in my/our client designated demat accounts in favour of IIFL for the limited purpose of meeting the margin/obligations requirements in connection with the trades executed by me/us through IIFL on any Stock Exchange in any segment including cash, stock derivatives, commodity derivatives and currency derivatives segment.
 5. Generally to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments for and delivery of securities arising out of transactions undertaken by me/us under the agreements are duly and properly completed.
 6. Pursuant to my/our instruction, to make necessary applications on my/our behalf to any officials or authorities in India, including but not limited to, the Central Government, and/or the Reserve Bank Of India, Income Tax Authority, Stock Exchanges, Securities and Exchange Board of India in connection with my/our purchase/ sale/ transfer of the securities, and to represent me in all respects before such authority/ies and establish without encumbrance the ownership of securities in my name.
 7. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non-convertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments, usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.
 8. Pursuant to my/our instruction (general or specific) or instruction of my/our Authorised Representative, to apply for various products like Mutual Funds, Public issues of securities including shares, debentures, rights, offer for sale, tendering shares in open offers etc.
 9. Pursuant to my/our instruction or instruction of my/our Authorised Representative, to acquire by subscribing to or by purchase of securities or any other investment products and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and/or any other investment products including but not limited to Initial Public Offerings, Further Public Offerings, Buy Back Offers, Right Issues either through internet using identification number issued by any Authority from time to time or otherwise, and/or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds and/or otherwise as may be required to deal in the securities or other investment products.
 10. Pursuant to my/our instruction or instruction of my/our Authorised Representative, to make applications for or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any Company/Body/Authority and to receive and hold such rights or additional shares bonds or debentures.
 11. To issue orders and instructions for acquisitions and disposal of investments for and on behalf of myself/ourselves and to purchase or otherwise acquire, invest and sell or otherwise dispose off securities.
 12. To sign the necessary forms and other documents if any and to file the same with the company/ies and/or Mutual Fund concerned or any other entity for purchase, sell, redemption or otherwise transfer of such securities/units of Mutual Funds and transferring it in my/our name.
 13. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/ issuer of Investment Product.
 14. To receive statements and other documents pertaining to the above units/securities and to acknowledge receipt of the same.
 15. To do all such acts and things as may be necessary to effect the subscription/purchase/redemption or any other transaction in any securities and/or Investment Product for which services are availed from IIFL.
 16. To debit the purchase price of such securities or any other fees/charges etc. due to IIFL and to discharge all obligation in this regard on my/our behalf to IIFL, in my account with IIFL Securities Limited
 17. To operate and to give delivery/ receive instructions, borrowing and lending instructions, pledge instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of client designated demat account(s) or towards the obligation for transactions done through IIFL on NSE, BSE and any other Exchange, under my/our instructions.
 18. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
 19. To square off at its discretion my/our position of transactions that are not delivery marked during the day.
 20. To demand, receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/ or income arising from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend/interest warrants or certificates, receive all debts, sums of money, principal, interest, dividend or other dues of whatever nature or account which are now or at any time due and payable and belong to me/us.
 21. For the purpose of the aforesaid to sign contracts,

- agreements, transfers, acceptances, receipts, or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/ authorities or department(s) and to do all such lawful acts requisite for effecting the same.
22. To correspond with and give notice to the corresponding Asset Management Company/Body Corporate/Registrar & Transfer Agent of securities including but not limited to giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated/instructed by me/us.
 23. To comply and/or cause to be complied with all statutory and other requirements attached to or arising out of these premises and for these purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.
 24. To send consolidated summary of my/our scrip wise buy and sell positions taken with average rates by way of SMS/ e-mail at my/our registered mobile no./email id as provided by me/ us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
 25. To arrange to return to me/us the securities that may have been received by IIFL erroneously or those securities that IIFL is not entitled to receive from me/ us.
 26. For all or any of the purpose aforesaid to appoint from time to time a representative and to revoke such representation but so that the appointment of any such representative shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointments.
 27. To invest the credit balance available in my ledger statement of trading account in any financial products as per my instructions;
 28. To instruct the bank to transfer the funds and debit my / our bank account(s) mentioned hereunder to meet with the following requirement;
 - i. Towards meeting the settlement obligations / margin requirements in connection with the trades executed by me/us on the stock exchange through IIFL as per my/our instruction,
 - ii. To recover any outstanding amount due/debit balance as reflecting in my ledger statement arising out of my trading activities on the stock exchanges through IIFL.
 - iii. Towards the payment for subscription of financial products/facilities/services through IIFL like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc.
 - iv. To pay any other monies/fees/charges/cost expenses etc. due payable to IIFL for availing/subscribing to facilities/services availed by me/us.
 - v. To invest available credit balance in any of financial products as per my/our instruction to IIFL.
 29. To prepare, complete, sign and submit all forms, statements and declarations as may be required in respect of operating of the bank account(s).
 30. To make, draw, sign, endorse, negotiate, accept and release as the case may be cheques, drafts, pay orders, telegraphic

transfers/direct transfers on the internet or other securities for payment of money whether debit or credit in my/our account(s) with the IIFL.

31. To receive and deposit the monies realized from sale of the securities or any other financial products and all interest/ dividends on my/our behalf in my/our behalf in my/our bank account;
32. To invest/redeem the available credit balance in my /our ledger account/demat account/bank account in the units of mutual fund and/or in such other financial products as per our instructions;
33. To do or omit to do all such acts and things as IIFL may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.
34. My/Our Attorney IIFL shall not be liable for any loss that may result from failure/inability of electronic connectivity or rejection of my/our application for any reason whatsoever.
35. My/Our Attorney IIFL shall not be liable for any transaction processed on the basis of information provided by IIFL to the issuers/owners of securities or investment products in the applications or otherwise based on the information provided by me/ us.

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

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

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

AND I/WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney shall be valid, effective and operative only after the execution by both parties and acceptance by IIFL and shall remain in force till my account is in the operation and active.

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

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

IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, Thane Industrial Area, Wagle Estate, Thane - 400 604. I/We hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other charges & expenses till the date of revocation due to the Attorney as per its records are paid/cleared in full.



This document shall be subject to the jurisdiction of the Courts in _____.
 MADE and executed at _____ on this _____ day of _____ 20_____.

SCHEDULE 1

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




SCHEDULE 2

Client Designated Demat Account Nos.:

IIFL Designated Demat Account Nos:DP Name: **IIFL Securities Limited**

DPID: 12044700 (CDSL)	DPID: IN302269 (NSDL)
1204470000000044	IN30226912180091
1204470000000063	IN30226912144461
1204470000000078	IN30226910000005
1204470000000103	IN30226910000013

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

Signed and Delivered by  Authorised Signatory	 Authorised Signatory	 Authorised Signatory
---	---	--

CLIENT'S WITNESS FOR POWER OF ATTORNEY (for and on behalf of the Client)**Witness 1**

Name _____

Address _____

Signature **Witness 2**

Name _____

Address _____

Signature 

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

For **IIFL Securities Limited**


Authorised Signatory

Date: _____

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

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

To,
IIFL Securities Limited
Mumbai

Dear Sir/ Madam,

Sub: Declaration of Coparcener(s)

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

BO ACCOUNT DETAILS:

DP ID: CDSL DP ID: 12044700 OR NSDL DP ID: IN302269 Client ID: _____ Login ID: _____

LIST OF CO-PARCENERS:

Sr. No.	Name	Sex [M/F]	Date of Birth	Relationship with Karta	PAN No.	Signature
1.						<input type="text"/>
2.						<input type="text"/>
3.						<input type="text"/>
4.						<input type="text"/>
5.						<input type="text"/>
6.						<input type="text"/>

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

Name of the Karta _____

Signature & Stamp of Karta alongwith stamp of HUF:

Place : _____

Date : _____

FATCA - CRS DECLARATION FOR ENTITIES
 (Please Seek Advice From Your Tax Adviser And/or Refer Fatca & Crs Guidelines
 For Tax Residency & Other Related Information In This Form)

PART - I

A.	Is the account holder a Government body/ International (Organization/listed company on recognized stock exchange.)	<input type="checkbox"/> Yes , please specify name of Stock exchange, if you are listed company _____, and proceed to sign the declaration
		<input type="checkbox"/> No , then proceed to point B
B.	Is the account holder a (entity/financial institution) tax resident of any country other than india	<input type="checkbox"/> Yes , then Please fill of FATCA/CRS self certification Form
		<input type="checkbox"/> No , Proceed to Point C
C.	Is the account holder and indian financial institution	<input type="checkbox"/> Yes , Please provide your GIIN, if any _____
		<input type="checkbox"/> No , Proceed to Point D
D.	Are the substantial owners or controlling persons in the entity or chain of ownership resident for tax purpose in any country outside India or not and Indian Citizen	<input type="checkbox"/> Yes , (then please fill FATCA/CRS self certification From)
		<input type="checkbox"/> No , Proceed to sign the Declaration




CLIENT DECLARATION

Under Penalty of perjury, I/We Certify that:

1. The Applicant Is : _____
 - I. An applicant taxable as a US person under the laws of the united states of America("U.S.") or any state or political sub division there of or therein, including the district to Columbia or any other states or the U.S.
 - II. An estate the income of which is subject to U.S. federal income Tax regardless of the source thereof. (this clause is applicable only if the account holder is identified as a us person)
2. The Applicant is an applicant taxable as a tax resident under the lows of country outside India.
 - I. I/We understand that the bank is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CSR. The bank is not able to offer any tax advice on FATCA/CSR or its impact on the applicant.
 - II. I/We shall seek advice from professional tax advisor for any tax questions.
 - III. I/We agree to submit a new form within 30day's if any information or certification on this form becomes incorrect.
 - IV. I/We agree that as may be required by domestic regulators/tax authorities the bank may also be required to report, reportable details to CDBT or close or suspend my account
 - V. I/We certify that I/We provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant

Name of the Entity : _____

 Date

	Authorised Signatory	Authorised Signatory	Authorised Signatory
SIGNATURE	21  24		

PART II
SELF CERTIFICATION FORM (EQUITY) FOR FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA")
AND COMMON REPORTING STANDARD.

Section 1: Entity Information

1	Name of Entity	
2	Customer Id (if Existing)	
3	Entity Constitution Type	<input type="checkbox"/> A - Sole Proprietorship <input type="checkbox"/> B - Partnership Firm <input type="checkbox"/> C - HUF <input type="checkbox"/> D - Private Limited Company <input type="checkbox"/> E - Public Limited Company <input type="checkbox"/> F - Society <input type="checkbox"/> G - AOP/BOI <input type="checkbox"/> H - Trust <input type="checkbox"/> I - Liquidator <input type="checkbox"/> J - Limited Liability Partnership <input type="checkbox"/> K - Artificial Juridical Person <input type="checkbox"/> Z - Others <input type="checkbox"/> X - Not Categorised
4	Entity Identification No	<input type="checkbox"/> T - TIN <input type="checkbox"/> C- Company Identification Number <input type="checkbox"/> G- US GIIN <input type="checkbox"/> E- Global Entity Identification Number (EIN) <input type="checkbox"/> O - Other
5	Entity Identification No (based on entity identification type)	
6	Entity Identification issue Country	
7	Entity Identification	

Section 2: Classification of Non-Financial Entities

I/We (on behalf of the entity) Certify that the entity is

A.	An entity Incorporated and taxable in US Specified (Us person)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	<i>If "Yes", Please provide your U.S. Taxpayer Identification Number (Tin)</i>		
B.	An entity incorporated and taxable outside of India (Other Than US)	Yes <input type="checkbox"/>	No <input type="checkbox"/>
	<i>If "Yes" Please provide your TIN or Its functional equivalent</i>		
	Provide your Tin issue Country		
C.	Please provide the following additional details if you are not a specified US person		
	FATCA/CRS classification for Non financial Entities (NFFE)		
	<input type="checkbox"/> Active NFFE	<input type="checkbox"/> Passive NFFE without any controlling person	
	<input type="checkbox"/> Passive NFFE With Controlling Person →	<input type="checkbox"/> US <input type="checkbox"/> Other	
	<input type="checkbox"/> Direct reporting NFFE (choose this if any entity has registered itself for direct reporting for FATCA and thus bank is not required to do the reporting) Please provide GIIN No: _____		

Section 3: Classification of financial institutions (Including Bank)

I/We (on behalf of the entity) Certify that the entity is

A.	An entity is a U.S. financial institution	Yes <input type="checkbox"/>	No <input type="checkbox"/>
i	<i>If "Yes", Please provide your Taxpayer Identification Number (tin / ein)</i>		
	Please provide GIIN, if any		
ii	If No please tick one of the following boxes below:		



	FATCA classification	Please provide the global intermediary identification number (GIIN) or other information where
<input type="checkbox"/>	Reporting Foreign financial institution in a model 1 inter governmental agreement ("IGA") jurisdiction	
<input type="checkbox"/>	Reporting foreign financial institution in a model 2 IGA jurisdiction	
<input type="checkbox"/>	Participating FFI IN a Non-IGA jurisdiction	
<input type="checkbox"/>	Non-reporting FI	
<input type="checkbox"/>	Non-Participating FI	
<input type="checkbox"/>	Owner-Documented FI with specified US owners	

Section 4 : Controlling person Declaration

If you are Classified as "passive NFFE with Controlling person(s)" or "Owner documented FFI" or "Specified US person", please provide the following details




Name of Controlling Person	Correspondence Address	Country of Resident for Tax Purpose	TIN	TIN issuing Country	Controlling Person Type
Details	Controlling Person 1	Controlling Person 2	Controlling Person 3	Controlling Person 4	Controlling Person 5
Identification Type	<input type="checkbox"/> A - Passport <input type="checkbox"/> B - Election Id Card <input type="checkbox"/> C - PAN Card <input type="checkbox"/> D - ID Card <input type="checkbox"/> E - Driving License <input type="checkbox"/> G - UIDAI Letter <input type="checkbox"/> H - NREGA Job Card <input type="checkbox"/> Z - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> A - Passport <input type="checkbox"/> B - Election Id Card <input type="checkbox"/> C - PAN Card <input type="checkbox"/> D - ID Card <input type="checkbox"/> E - Driving License <input type="checkbox"/> G - UIDAI Letter <input type="checkbox"/> H - NREGA Job Card <input type="checkbox"/> Z - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> A - Passport <input type="checkbox"/> B - Election Id Card <input type="checkbox"/> C - PAN Card <input type="checkbox"/> D - ID Card <input type="checkbox"/> E - Driving License <input type="checkbox"/> G - UIDAI Letter <input type="checkbox"/> H - NREGA Job Card <input type="checkbox"/> Z - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> A - Passport <input type="checkbox"/> B - Election Id Card <input type="checkbox"/> C - PAN Card <input type="checkbox"/> D - ID Card <input type="checkbox"/> E - Driving License <input type="checkbox"/> G - UIDAI Letter <input type="checkbox"/> H - NREGA Job Card <input type="checkbox"/> Z - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> A - Passport <input type="checkbox"/> B - Election Id Card <input type="checkbox"/> C - PAN Card <input type="checkbox"/> D - ID Card <input type="checkbox"/> E - Driving License <input type="checkbox"/> G - UIDAI Letter <input type="checkbox"/> H - NREGA Job Card <input type="checkbox"/> Z - Others <input type="checkbox"/> X - Not Categorised
Identification Number					
Occupation Type	<input type="checkbox"/> S - Service <input type="checkbox"/> B - Business <input type="checkbox"/> O - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> S - Service <input type="checkbox"/> B - Business <input type="checkbox"/> O - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> S - Service <input type="checkbox"/> B - Business <input type="checkbox"/> O - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> S - Service <input type="checkbox"/> B - Business <input type="checkbox"/> O - Others <input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> S - Service <input type="checkbox"/> B - Business <input type="checkbox"/> O - Others <input type="checkbox"/> X - Not Categorised
Occupation					
Birth Date					
Nationality					
Country of Birth					

Section 5 : Declaration

I. Under Penalty of Perjury, I/We Certify That:

1. The Number shown on this form is the correct taxpayer identification number of the applicant, and
 2. The applicant is (i) an applicant taxable as a US person under the laws of the United states of America("U.S") or any state or political subdivision thereof or therein, including the district of Columbia or any other states of the U.S., (ii)an estate the income of which is subject to U.S federal income tax regardless of the source thereof or
 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- II. I/We understand that the Bank is relaying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The Bank is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions,
- III. I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- IV. I/We agree as may be required by/Regulatory authorities, Bank shall be required to comply to report, reportable details to CBDT or Close or suspend My account.
- V I/We certified that I/We provide the information on this form and to the best of my/Our knowledge and belief the certification is true, correct and complete including the tax payer identification number of the applicant.

I/We here by confirm that details provided are accurate, Correct and complete

	Authorised Signatory	Authorised Signatory	Authorised Signatory
SIGNATURE	22  24		

Name _____ Date _____

AUTHORIZATION LETTER

To,

Date: ____/____/____

IIFL Securities Limited

IIFL House, Sun Infotech Park,

Road No. 16V, Plot No. B-23,

Thane Industrial Area, Wagle Estate, Thane - 400 604

Sir,

A. Availing Mutual Fund Service System (MFSS) facility/ BSE StAR MUTUAL FUND (hereinafter jointly referred to “Mutual Fund Transaction Facilities”) (Applicable in case opted)

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

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

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

I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). For the said purpose of availing these facilities, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose and I/We further confirm that the details contained in same remain unchanged as on date.

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

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

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

My/our exposure limits in my trading account shall be reduced to the extent of the amount utilized for transacting in the mutual fund units as per my instruction. In case of subscription request, I/We hereby understand and agree that based on my instruction, the amount will be debited in my Mutual fund transaction account and surplus funds shall be transferred from my Broking account to my mutual fund transaction account as per this authority letter. I/We further agree and understand that such funds will be used by the Participant for applying for mutual fund units after deducting the applicable brokerage, fees, charges and other statutory levies. I/We agree and undertake to make good such shortfall immediately as may be informed by IIFL Securities Limited from time to time.

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

B. Authorization for Systematic Investment in Mutual Fund / Securities (Applicable in case opted)

I/We hereby authorize IIFL to execute an order in my/our account held with IIFL for purchase of the securities and/or mutual fund units under systematic investment plan on my/ our behalf as per my/our instructions.

I/We further agree and understand that all the terms and conditions of the trading agreement/terms and condition

entered into/agreed with IIFL shall be also applicable to the instructions for systematic investment in mutual fund units / securities and I/We hereby agree to abide by the same at all times.

I/We understand that the instructions for systematic investment can be given by me in writing or through the online facility provided by IIFL or over recorded telephone line. I/We hereby agree and understand that the said instructions shall be valid and binding upon me/us until modified and/or cancelled by me/us by giving valid instruction to IIFL either in writing or through the online facility provided by IIFL.

I/We hereby undertake to give an ECS mandate/ standing instruction in favor of IIFL towards my/our trade obligations arising out of this authorization or I/we hereby authorize IIFL to execute order under SIP on the basis of clear fund available in my ledger account and as per risk management policy.

I/We hereby authorize IIFL to debit my/our trading account held with IIFL towards my/our trade obligations and all the fees, charges, taxes, brokerage etc due and payable by me/us.

I/We understand that this authorization can be revoked by me/us at any time by giving a written notice atleast 30 days in advance to IIFL. I/We understand that such revocation shall be effective from the date of receipt of confirmation of the same from IIFL. I/We agree and undertake to fulfill all my/our obligations as per the instructions for systematic investment arising in my/ our account before the effective date of such revocation.

I/We agree to abide by the Terms and Conditions applicable for Systematic Investment in Mutual Fund and/or Securities and any amendments thereto at all times.

I/We undertake to indemnify and keep indemnified IIFL and its directors / officers for all trades executed on my / our behalf as per the instructions given by me/us.

C. RUNNING ACCOUNT AUTHORISATION (*Applicable in case opted*)

Authorisation to IIFL Securities Limited

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

I/We understand that settlement amount shall be subject to retention of requisite securities/ funds towards outstanding obligations and margins in my account calculated in the manner specified by SEBI/ Exchange and details mentioned in the "Statement of Account" at the time of settlement. I/We authorise you to send the statement of account on funds and

securities as on the date of settlement to my internet trading account or e-mail id registered with you. I /We understand that I /We can obtain a copy of the same from any of your Branch offices.

I /We understand and authorize that you will not release the payout in case the balance after necessary retention is upto Rs.10000/- or any other sum as specified by Exchanges from time to time in any of the quarters, till my revocation in writing as I /We will be doing regularly trading with you.

I also undertake to bring any dispute arising from Statement of accounts or settlement so made to your notice within seven working days from the date of receipt of funds/securities or Statement as the case may be.

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

D. AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE (*Applicable in case opted*)

I/We hereby consent to receive from IIFL Securities Limited the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my registered email id. I/We further hereby agree that the IIFL Securities Limited shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that:

- (i) The above is my/ our personal E-mail id. I/ We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. IIFL shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- (ii) E-mails sent to any of the above mentioned e-mail account, which have not bounced back, shall be deemed to be duly delivered to the me/us.
- (iii) IIFL shall not take cognizance of out-of -office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- (iv) Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by IIFL.
- (v) I/We further agree that IIFL may at its sole discretion also provide / discontinue such statements in physical form. (vi) IIFL shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- (vii) IIFL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from IIFL.
- (viii) I/We shall inform IIFL by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the Email given above.
- (ix) I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with IIFL. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
- (x) I/We shall inform in writing in prescribed format to IIFL to discontinue the said facilities. I/We and IIFL shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.

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

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourselves want the same in the electronic form.

- I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____ . This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I am aware that non-receipt of bounced mail notification by member shall amount to delivery of the contact note at the above email id.

[The above declaration has been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

E. AUTHORISATION FOR ONLINE TRADING SOFTWARE PASSWORD (*Applicable in case opted*)

I wish to use online Trading Software in this regards Following:-

- I. Please send my system-generated, internet account first time as well as subsequent, password on the registered mobile numbers. Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number. As soon as I receive the systemgenerated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending.
- II. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the IIFL immediately and request for re-setting of my Password.
- III. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher for anybody else and should be preferably alpha-numeric and not my or any family member's name/ surname.
- IV. I am fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/ misuse of the Password. I understand IIFL will not be responsible or liable in any manner whatsoever for the same.

F. Availing IIFL Distribution Services (*Applicable in case opted*)

I/We understand that:

(a) IIFL Securities Limited (herein after referred as IIFL), its associates and subsidiaries of IIFL Holdings Ltd. are engaged in providing various financial services including distribution and execution services of various financial products. Accordingly, for providing said services IIFL and its associates may earn fees (including arranger fees) or commission from issuers of mutual funds, alternative investment funds, venture capital funds, debt instruments etc.

(b) Apart from above, investment may be made in securities of associates, investment transaction may be done with IIFL, its associates and group companies of IIFL as counterparties and IIFL, including its subsidiaries and associates may receive various form of remuneration linked to distribution services offered to the Client.

I/ We hereby agree to avail services like distribution of securities / financial products including but not limited to following offered by IIFL Distribution Services.

- Initial Public Offer/Follow on Public Offer /Offer for sale
 - Mutual Funds
 - Bonds, Debentures
 - NPS
 - Other financial products
1. I/We hereby give my/our consent to execute new Power of Attorney in favour of IIFL and enable IIFL to my investments & redemptions relating to IIFL Distribution Services being availed by me.
 2. I/ We hereby authorize IIFL and its associates to disclose, share, remit in any form, mode or manner, all / any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/ us to




associates of IIFL Group, issuers, brokers, Mutual Funds, AIFs, banks and other relevant parties ('the Authorized Parties') 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 agencies without any obligation of advising me/ us of the same.

3. I/ We hereby declare that there is no action pending against me/us by any regulatory authority for violation of any law. There are no unpaid fines/ penalties levied on me/us. I/ We have not violated any law applicable to us or circular/regulations issued under any law as on date. I/ We have no legal or regulatory proceedings pending against me/us for any financial crimes or violation of Securities laws initiated be SEBI/ RBI/ Banks or any other financial institution.

Pursuant to my/our instructions, I/We hereby authorize IIFL, to invest the balance lying in the my/our ledger account, demat account and/or bank account, in the units of mutual fund and/or in such other financial products of as specified above and redeem in part or full as and when to meet my account obligations with IIFL.

DECLARATION

- i. I am aware that the mobile number shall be updated in all your records and databases including trading and demat account.
- ii. I declare that the registered is my personal mobile number and is always in my safe custody. I shall keep IIFL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, IIFL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
- iii. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs alongwith my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.
- iv. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further,
- v. I agree and undertake to indemnify IIFL and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non-litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.
- vi. I/We confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents.
 - SMS Alerts Facility by depository : I/ We consent to CDSL / NSDL providing to the service provider such information pertaining to account/ transactions in my/ our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ We further undertake to pay fee/ charges as may be levied by the depository from time to time. I/ We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.
 - Terms & Conditions For Distribution of Securities.
 - Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUALFUND offered by NSE and BSE respectively.
 - Terms and Condition for availing systematic investment in Mutual fund/Securities

	Authorised Signatory	Authorised Signatory	Authorised Signatory
SIGNATURE			

TERMS AND CONDITIONS FOR AVAILING THE SERVICES OF DISTRIBUTION OF SECURITIES/ FINANCIAL PRODUCTS AND DIRECT INVESTMENT PRODUCTS OFFERED BY IIFL

IIFL Securities Limited (IIFL) being the stock broker is in the business of providing Trading cum Demat Services to its clients. In addition to it, IIFL is also engaged in marketing and distribution of IPOs of Securities of Issuers and registered with the Association of Mutual Funds in India (AMFI) as a Mutual Fund Distributor and other financial products including products offered by its affiliates or group companies. IIFL provides online/offline facility to apply/purchase/redeem/sale/buyback or otherwise deal in the units of Mutual Funds and other securities including transaction services opted in Account Opening Form (hereinafter referred to as 'transactions').

The Client wishes to avail of the facilities/services through IIFL on the following terms and conditions set forth herein below. The terms and conditions contained herein are binding on the Client. The Client has agreed to obtain facilities/services from the IIFL after fully understanding the entire terms and conditions. The terms and

conditions shall be subject to amendment, if any from time to time at the sole discretion of IIFL and such amendments shall bind on the client. For the purpose of the present Terms and Conditions, National Stock Exchange of India Limited and the Bombay Stock Exchange Limited shall be known as the Exchanges.

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

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


- 6) IIFL at its own discretion may not carry out the Client's instruction, where the IIFL has reasons to believe (which discretion of IIFL the Client shall not question or dispute) that the instructions are not genuine or are otherwise improper/unclear/raise a doubt. IIFL shall not be liable if any instructions are not carried/ partly carried out for any reason, whatsoever. All transactions are subject to the applicable regulatory norms and/or IIFL's internal policy requirements.
- 7) The Client understands and agrees that the mutual fund/RTA/Issuer Company/stock exchanges/may cancel, close or reject any contract suo-moto without giving any reason thereof. In the event of such cancellation, closure or rejection, IIFL shall be entitled to cancel relative contract(s) with the Client and the Client shall not raise any objection and for it and hold IIFL liable/responsible for it.
- 8) In case of Mutual Funds, the Client agrees and acknowledges that IIFL shall provide the facilities as agreed between the parties only in respect of the selected Mutual Funds, with whom IIFL has entered into a separate arrangement/agreement.
- 9) The Client undertakes to read all the relevant Offer Documents and addendums thereto and terms and conditions of all schemes of all mutual funds and other issues of securities including but not limited to Initial Public Offerings/Public Offers, Rights issue and Buy Back offers, offered through IIFL's website or otherwise; before entering into any transactions the Client agrees to abide by the terms, conditions, rules and regulations as applicable from time to time.
- 10) The Client shall ensure that the transactions through IIFL are executed in accordance with the applicable laws, byelaws, rules and regulations governing the specific investment product. IIFL may, from time to time, impose and vary limits on the orders which the Client may place, including but not limited to exposure limits, turnover limits and limits as to numbers. The Client agrees that IIFL shall not be responsible for any variation or reduction that may be deemed necessary by IIFL based on its risk perception and other relevant factors.

The Client understands that direct investments in bonds/debentures/equity/equity related instruments/mutual fund/venture capital fund may carry significant liquidity, credit and default risk, pricing risk, including the possible loss of principal amount invested. Past results are not a guarantee of future performance; yield or performance fluctuates and may not be a reflection of past results. The Client shall investment after carefully understanding the Investment products. IIFL shall not be liable or held liable for any consequences thereof.

- 11) The Client expressly agree and acknowledge that any information contained in the IIFL's Brochures or other materials or otherwise communicated by IIFL shall not be constructed as investment advice and that all decisions to purchase or sell units/securities made by the Client and shall be on the basis of own personal judgment arrived at

- after due consideration. IIFL not assure or promise any bonus, interest, dividend, guaranteed returns and profit.
- 12) IIFL shall not be under any duty to verify compliance with any restriction on the Client's investment powers.
 - 13) The Client is responsible for the personal and bank related details provided by the Client. Neither IIFL nor any of the Mutual Funds/Issuers or their respective Registrars shall accept any liability which may arise as a consequence of the erroneous information provided by the Client.
 - 14) The Client authorizes the IIFL to disclose/share, all such information pertaining to the Client with the companies/entities/subsidiaries/affiliates of IIFL or their agents' Banks/Financial Institutions/Statutory Bodies as may be required from time to time, for the Client to be able to avail of any or all of the services provided by IIFL under this arrangement or any other services. The Client shall undertake not to hold IIFL and/or companies/entities/subsidiaries/affiliates of IIFL and/or their agents liable or responsible for use of the aforesaid information.
 - 15) In case of change of address and personal details of the Client, the Client shall intimate the same via written letter/email to IIFL of such change.
 - 16) The Client agrees and understands that the folio number of the Client in respect of the Mutual Fund schemes shall be received by IIFL from the Asset Management Company.
 - 17) The Client agrees that, without prior intimation and acknowledgement of IIFL, the Client shall not deal/liase with the Issuer Company/Mutual Fund/Asset Management Company or its respective Registrars in respect of the services availed under this agreement.
 - 18) Further, any change in the details of the Client including but not limited to the Demat account, Bank Account, Address, registered contact number, email ID shall be first intimated to the IIFL who may in turn liaise with the Issuer Company/Mutual Fund/Asset Management Company or its respective Registrars to update such changes. The Issuer Company/ Mutual Fund/ Asset Management Company or its respective Registrars may reject such requests and in such an event IIFL shall not be liable for any such rejection.
 - 19) The Client further agrees that the Client shall not close/change the details of the Bank account without prior notification to IIFL and the Client agrees that IIFL may instruct Bank of the Client to reject any such request received from the Client.
 - 20) The Client shall provide IIFL with its Permanent Account Number (PAN). In the event the Client has mentioned "Not Applicable" against PAN in the Application Form, the Client confirms that the Client is exempted from obtaining a PAN under the provisions of the Income Tax Act, 1961. However, in the event the Client id/application is for Rs. 50,000 or more and PAN is not provided, the Client shall be required to submit Form 60 or Form 61 as the case may be together with permissible documents as proof of address.
 - 21) The Client acknowledges that the purchase / application instructions shall be processed by IIFL only after sufficient funds to cover the purchase / application price and other costs and charges are received by IIFL.
 - 22) If after execution of any transaction it is for any reason found that IIFL has not been provided with sufficient funds by the Client, the Client shall pay the deficient amount to IIFL forthwith on demand, failing which IIFL may (but shall not be bound to) square up the transaction at any time at the Client's sole risk and cost. Any loss arising on such squaring up will be borne solely by the Client and the Client shall pay to the IIFL the additional amount that may be payable by the Client, the IIFL's demand being conclusive.
 - 23) The Client declares and confirms that the amount being invested by the Client. Client either directly or through its Power of Attorney holders, in any schemes of all mutual funds or other securities including but not limited to Initial Public Offerings/Public Offers, Rights issue and Buy Back offers is obtained through legitimate sources and is not held or designed for the purpose of contravention of the provisions of any Act, Rules and Regulations or any statute or legislation or any other applicable Laws or any Notifications, directions issued by any Governmental or Statutory Authority from time to time.
 - 24) In case the Client is a Non-resident Indian, the Client confirms that the funds remitted from abroad are through approved banking channels or from the NRE/NRO/FCNR account.
 - 25) If for any reasons, IIFL is unable to carry out the transactions as instructed by the Client/Client's authorized representative to the extent of full quantity of units/securities, the IIFL shall be entitled at its discretion and the Client hereby irrevocably authorizes the IIFL to carry out a transaction of a lesser quantity of units/securities. IIFL shall not be responsible for the non-execution of the Client's instructions for the entire quantity or the remaining quantity.
 - 26) The Client agrees and acknowledges that any instruction given or purported to be given by the Client/its authorized representative before the cut off time as may be intimated by the IIFL to the Client from time to time, will be processed on the same day. Any instruction received after the cut off time will be processed on the next working day, if applicable.
 - 27) In case of Mutual Fund, applicable Net Asset Value (NAV) shall be as per the Offer Document and SEBI Rules and Regulations. The units of scheme shall be allotted, redeemed or switched, as the case may be, at the NAV prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut-off time as specified on the website and consistent with the terms of the scheme. Any request falling due on holiday would be processed on the next business day and respective NAV would be applicable as per Mutual Funds offer documents.
 - 28) In case of other securities, the order for purchase, sell, offer under Buy Back etc. shall be accepted by IIFL only if the same is received by the cut off date as indicated on the website and consistent with the terms of the offer.
 - 29) The Client agrees and acknowledges that after the first purchase transaction in any Mutual Fund, the Client may not be permitted to transact till the folio number is allotted. IIFL does not accept any liability for delay in processing time at the Mutual Fund's or Registrar's end.
 - 30) IIFL shall credit the proceeds of the sale / redemption etc., for any of the Investment Products only after IIFL has received the same unless specifically agreed otherwise.
 - 31) The Client acknowledges that IIFL or its representatives shall not be under any obligation to provide him with any tax, legal, accounting, investment advice or advice regarding the suitability or profitability of investment of any kind, nor does IIFL or its representatives give any advice

- or offer any opinion with respect to the nature, potential value or suitability of any particular transaction or investment strategy.
- 32) It is explicitly stated herein that the Mutual Fund Schemes/ Offer Documents/other schemes offered by IIFL, have not been/shall not be understood as recommended by the IIFL.
 - 33) The Client can view his/her/its transactions on the website. A physical copy of the transactions statement or the account statement shall be sent by IIFL only on a written request from the Client.
 - 34) In case an application is made for Initial Public Offer/Public Offer/Units of Mutual Fund through IIFL, the Client authorizes IIFL to collect on Client's behalf, the refund amount, if any, from the Issuer Company/Registrar/Asset Management Company/Mutual Fund and subsequently credit the same to Client's Bank account, after set-off/ adjustment of dues payable by the Client on account of obligations incurred in connection with the application.
 - 35) The Client further agrees that IIFL shall not be held responsible for non-allotment of securities either fully or partly to Client, for any reason whatsoever. IIFL shall not be held responsible in case due to some reason the bid/application/revision instructions sent by Client is not received by it , or if the bid/application/revision could not be uploaded to the Stock Exchange, or could not be sent to the Bankers/Registrar to the issue.
 - 36) IIFL shall not be held responsible for non-receipt/delay in/incorrect receipt of fund, if any, from the Registrar/ Company. IIFL shall not be held responsible for incorrect Tax Deduction at Source (TDS) by the Registrar/company, if applicable, or for nonreceipt or delay in/ incorrect receipt of TDS Certificate, if any from the Registrar/Company/ Mutual Fund.
 - 37) IIFL shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any sold though they may have been delivered.
 - 38) The Client understands that the corporate actions including but not limited to Dividends, declared by the Issuer Company/Mutual Fund shall be directly paid by the Issuer Company/Mutual Fund to the Client's bank account as detail provided by the Client.
 - 39) IIFL shall also not be liable to the Client for any delay, failure or refusal of the Mutual Fund/any Issuer Company / Corporation or other body in registering or transferring units to the names of the Clients of for any interest, dividend or other loss caused to the Client arising therefrom.
 - 40) The Client agrees to provide IIFL with any confirmation/ declaration or any other document that the concerned Issuer/Asset Management Company or any other entity may from time to time require IIFL to collect from the Client in respect of the services offered under this agreement.
 - 41) IIFL shall not be responsible for any changes in the data of any scheme as carried out in the Offer document or any other documents/material issued by Asset Management company/Issuer Company/Mutual Fund.
 - 42) IIFL does not accept any liability for delay in processing time at the Mutual Fund's/Issuer or Registrar's end. The Client agrees that IIFL shall not be liable or responsible for non execution of any transactions for any reason, whatsoever.
 - 43) Neither IIFL, nor any of the Mutual Funds/nor the issuer shall be liable for any failure to perform its obligations, to the extent that such performance had been delayed, hindered or prevented by systems failures network errors, delay or loss of data due to the aforesaid, acts of God, floods, epidemics, quarantine, riot or civil commotion and war.
 - 44) The Client agrees and understands that the application in Mutual Fund/Initial Public Offering shall be subject to the applicable Acts, Rules, Regulations, guidelines, circulars, notifications, and directives issued by the Regulatory Authorities and Offer Document issued by the respective Mutual Fund/ Issuer.
 - 45) The Client further understands and agrees that he/she shall not place trades at unrealistic prices from current market price of the security or trade in illiquid securities which create artificial liquidity or amounts to manipulation of prices or cross/synchronized trades.
 - 46) IIFL shall provide its services on a best efforts basis. However IIFL shall not be liable for any failure or for any loss, damage or other costs arising in any way out of:
 - a) System failure including failure of ancillary or associated systems, or fluctuation of power, or other acts of God/force majeure;
 - b) Accident, transportation, neglect, misuse, errors, frauds on the part of the Client or any agent of the Client or agents or any third party, or
 - c) Any fault in any attachments or associated equipments of the Client
 - d) Any incidental, special or consequential damages including without limitation of loss of profit.
 - 47) In the event of disputes, differences, claims and questions between the Parties arising out of these Terms and Conditions or in any way relating hereto or to any provision hereof or the construction or interpretation thereof, the Parties shall first endeavor to settle the same by friendly consultation and, failing such settlement, Both the parties agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange/ regulators and circulars issued thereunder in accordance with the provisions of the Indian Arbitration and Conciliation Act, 1996. The language of Arbitration shall be English.The award of the arbitrator shall be final and binding.
 - 48) The Client understand that all disputes and differences arising out of, under or in connection with these terms and conditions or anything done hereunder shall be within the exclusive jurisdiction only to the courts of Mumbai. Further these terms and conditions are subject to and shall be construed in accordance with the laws prevalent in India.
 - 49) The Client understands that in cases of gross negligence, or willful default of Client, IIFL shall be indemnified by the Clients for, any and all costs, charges, expenses, claims, losses or liabilities of any nature (direct or indirect) including reasonable legal fees and expenses incurred and/or suffered by IIFL resulting from any act of omission/commission (or any delay) being committed by the Client.

SIGNATURE	 24/24
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FOR OFFICE PURPOSE ONLY
1. CLIENT RISK CATEGORISATION UNDER PMLA: **LOW RISK** **MEDIUM RISK** **HIGH RISK**
2. SOURCING & SERVICE RM/ SALES EXECUTIVE/ FAN NAME & CODE

	CODE	NAME
Introducer (E1-Sourcing Sales Employee)		
Group Code (E2-Servicing Sales Employee)		
Remiser (if any)		
Branch / FAN		

3. SUBMISSION CHECKLIST

 1. Complete Documentation Received Yes No If No, give details _____

 2. "Verified with Original" stamp affixed on proofs Yes No

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

 3. "PAN verified" stamp with Employee name & signature affixed on proof Yes No

 4. Margin Money collected Yes No Amount in Rs. _____ Rs. (in words) _____

 Chq./ CMS No.: _____ Chq./ CMS. Date: Bank Name _____

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note.

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

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

Branch Address : _____

_____ Pincode : _____

Name of the Employee of IIFL : _____ Employee Code : _____

Employee Signature & Stamp :
Date
4. KRA REGISTRATION DETAILS (FOR OFFICE PURPOSE ONLY)
If Client is already registered with KRA please fill in below details:
 NDML **CVL** **DOTEX** **Others** (Please Specify) _____

(Please furnish photocopy of KRA Registration letter)

KRA Registration No.: _____

Date of Registration:

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

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

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

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

RESOLVED FURTHER THAT the abovementioned officials are authorized to sell, purchase, transfer, endorse, negotiate and / or otherwise deal in securities through India Infoline Limited on behalf of the Company.
 RESOLVED FURTHER THAT the abovementioned officials be and are hereby authorized to jointly / severally sign, execute and submit such applications undertaking, agreements DP instructions and other requisite documents, writings and deeds as may be deemed necessary or expedient to open and account and give effect to this resolution."
 RESOLVED FURTHER THAT all the abovementioned officials would have authority to act on behalf of the Company and their actions will be binding on the Company."
 RESOLVED FURTHER THAT the Common Seal of the Company be affixed, wherever necessary as per the applicable provisions of the Articles of Association of the Company, in the presence of any of the Directors of the Company who shall sign the same in token of their presence,"

For _____
Managing Director/ Company Secretary

FORMAT FOR BANK VERIFICATION LETTER

To,
IIFL Securities Limited
 Mumbai.
 Dear Sir,

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

Authorised Signatory

Signed in my presence and attested _____
 (Name of Branch Manager)
 Signature of Branch Manager _____
 (Sign under bank stamp)
 MICR code of Branch _____

Put Bank stamp across photograph

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

To,
 IIFL Securities Limited
 IIFL House, Sun Infotech Park,
 Road No. 16V, Plot No. B-23,
 Thane Industrial Area, Wagle Estate,
 Thane - 400 604.
 Dear Sir/Madam,

- I / We, have submitted an application for opening a single / joint account for opening a Beneficial Owner [BO] account in the category "individual" for holding and carrying out transactions in respect of securities belonging to our firm, since as per the clarification issued by the Department of Company Affairs vide its Circular No. 5/75 (8/18/75-CL-V) dated March 31, 1975, Partnership Firm is not capable of being a member within the meaning of Section 41 of The Companies Act, 1956.
- I / we represent the firm.
- In consideration of you having agreed to accept the Permanent Account Number [PAN] issued by the Income Tax Department [ITD] to the firm along with our individual identity documents, I / We acknowledge and undertake as under :-
 - The acceptance of the PAN number of our firm does not amount to you having taken notice of trust or recognize our firm.
 - I / We shall continue to be responsible for complying with the relevant provisions of The Companies Act, 1956 and the Rules made thereunder and other applicable Laws failing which I / we shall be responsible for the consequences thereof.

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

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

FORMAT OF DECLARATION OF BENEFICIAL OWNERS
 (REQUIRED AS PER SEBI CIRCULAR NO. CIR/MIRSD/2/2013 DATED JANUARY 24, 2013) (TO BE PRINTED ON LETTER HEAD)

I. For clients other than Individual and trust
A - Controlling ownership interest through capital & profits (Refer Note 1)

		% of Ownership
1.		
2.		
3.		
4.		
5.		

B - Control over the juridical person through other means (Refer Note 2) (Applicable where no natural person exerts control as per A above)

Sr. No.	Name of the natural person	Details of control through voting rights, agreement, arrangements or in any other manner
1.		
2.		
3.		
4.		
5.		

C - Name of the natural person holding position of Senior Managing Official (Applicable where no natural person is identified in A & B above)

Sr. No.	Name of the natural person	Position/ designation of Senior Managing official
1.		
2.		
3.		
4.		
5.		

II. For clients which is Trust

Name of Trust	
Trustee	1.
	2.
	3.
Protector	1.
	2.
	3.
The beneficiaries with 15% or more interest in the trust	1.
	2.
	3.
Name(s) of any other natural person exercising ultimate effective control over the trust through a chain of control or ownership	1.
	2.
	3.

For _____ (Name of the client)

SIGNATURE

Name _____ Designation _____

Date: _____

Place: _____

NOTES:

 1) Controlling ownership interest through capital & profits: List of the natural person, who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest.

Sr. No.	Where the juridical person is	Ownership of/entitlement to
1	A company	More than 25% shares or capital or profits
2	A partnership	More than 15% capital or profits
3	An unincorporated association or body of individuals	More than 15% of the property or capital or profits

 2) Control over the juridical person through other means: where there exists doubt under clause IA above as to whether the person with the controlling ownership interest is the beneficial owner or where no natural person exerts control through ownership, provide list of natural person exercising control through other means i.e. through voting rights, agreement, arrangements or in any other manner.

Note: Kindly submit shareholding / ownership details in case 25% / 15% as mentioned above is held by Juridical person till beneficial owner is satisfactorily identified

OTHER INFORMATION ABOUT IIFL**LIST OF DESIGNATED BANKS**

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

LIST OF DESIGNATED DEPOSITORY PARTICIPANTS

1. IIFL Securities Limited

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

DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENT:

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

For Branches and Locations of IIFL Securities Limited please visit our
website: www.indiainfoline.com



IIFL Securities Limited, IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, MIDC, Thane Industrial Area, Wagle Estate, Thane - 400 604
Tel: (91-22) 3929 4000/ 4103 5000 • Fax: (91-22) 2580 6654
Member: BSE, BSE (F&O) NSE, NSE (F&O), MCX & NCDEX SEBI Registration No. INZ000164132
Portfolio Management Service INP 000002213, Merchant Banking INM 000010940,
Depository: CDSL & NSDL SEBI Registration No: IN - DP-185-2016

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