



Investment aur Trust, Dono

Application No.:

CLIENT REGISTRATION FORM (Broking, Demat & Mutual Fund SIP)

Segment: Online Offline

Type of Account: Broking Demat Broking & Demat

Category: NRE NRO Other

Bank: SBI Other _____

Client Name _____ *As Per PAN*

SSL Branch Code E-NRI Other _____

Scheme Code Regular Other _____

Sourcing Type Direct Assisted

TL Code: _____ TL Name: _____
(Mandatory for Assisted Sourcing)

NRI RM Code: _____ NRI RM Name: _____
(Mandatory)

SBI/Asso. Name _____

SBI/Asso. Branch Code _____ Name _____

Corporate Name _____

SEBI / IRDA Registration No.:

Stock Broker	NSE/BSE/NCDEX/MCX	INZ000200032	Dt. 12/09/2018
CDSL & NSDL	Depository Participant	IN-DP-314-2017	Dt. 13/02/2017
CIRL	Approved Person	IRDA/RW/IR2/2015/081	Dt. 12/02/2015
NDML	Approved Person	IRDA/IR1/2014/069	Dt. 07/01/2015

Registered Office Address:

SBICAP Securities Limited

Corporate Identify Number (CIN): U65999MH2005PLC155485
Marathon Futurex, Unit No. 1201, 12th Floor, B Wing, Mafatlal Mill Compound, N.M. Joshi Marg,
Lower Parel East, Mumbai-400013. | Phone: 022-6931 6100 | Fax: 022-42273301
E-mail: helpdesk@sbicapsec.com | Website: www.sbisecurities.in

NRE TRADING CODE: _____

NRO TRADING CODE: _____

NRE DEMAT NO.: _____

NRO DEMAT NO.: _____

INDEX OF DOCUMENTS					
No.	Content	Related to	Brief Significance of the Document	Section	Pg. No.
PART-I – MANDATORY DOCUMENTS					
(a)	Instruction / Check list for filling KYC form	KRA Registration	Document stating the instructions / checklist for filling of the KYC form	A	4
(b)	Know Your Client (KYC) Application Form	KRA Registration	KYC Form - Document captures the basic information about the individual for KRA Registration	A	5
(c)	Bank and other details (for Trading and Depository)	Demat and Trading Account	Document captures the bank and other details about the individual relevant to his trading and depository account	A	6
(d)	Declaration and undertaking (FATCA / FEMA)	Demat and Trading Account	Document captures the undertaking taken from the client with respect to compliance with the provisions of the FATCA Act	A	6
(e)	Additional details for Demat Account	Demat Account	Document captures the additional information about the individual related to demat account	A	7
(f)	Depository Service Charges	Demat and Trading Account	Details of depository service charges	A	8
(g)	Additional details for Trading Account	Trading Account	Document captures the additional information about the individual relevant to trading account	A	9
(h)	Nomination Form (DP + Trading)	Demat and Trading Account	Details of nominees specified by the client for both depository and trading account	A	11
(i)	Notes for Depository Account	Demat Account	Document stating the notes for opening of depository account	A	12
(j)	Rights and obligations	Trading Account	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights and obligations in case of internet/wireless technology based trading)	B	21-24
(k)	Risk Disclosure Document (RDD)	Trading Account	Document detailing risks associated with dealing in the securities markets	B	25-26
(l)	Policies and Procedures	Trading Account	Certain applicable policies and procedures of SSL significant to the trading account of the client	B	29-32
(m)	DP-Rights and Obligations (Mandatory if demat account is being opened with SSL)	Demat Account	Document stating the Rights and Obligations of Beneficial Owner and Depository Participant	B	33-34
(n)	Terms and conditions cum Registration form for receiving SMS alerts from CDSL	Demat Account	Prescribed by depository. Required to receive SMS alerts for the transactions executed in the demat account directly from the depository	B	35-36
(o)	Guidance note	Trading Account	Document detailing do's and don'ts for trading on exchange for the education of the investors	B	19-20
PART-II – LIST OF VOLUNTARY DOCUMENTS					
(a)	Choice of accounts cum Profile Sheet	Demat and Trading Account	Document to indicate the type of account that the client intends to open and a brief profiling of the client on various demographic parameters	A	3
(b)	Running Account Authorisation	Demat and Trading Account	Required for maintaining clients account on a running account basis	A	10
(c)	Authorisation for receipt of Contract Note and other documents in digital mode	Demat and Trading Account	Required for issuance of Contract Notes, Statement of Account and other documents on the client's registered e-mail id	A	10
(d)	Acknowledgement cum declaration	Demat and Trading Account	Client declaration to abide by the contents of all the mandatory and voluntary documents	A	10
(e)	Declaration for OCI / Address / Seafarers	Demat and Trading Account	Declaration for OCI / Address declaration for P.O. Box Address / Seafarers account opening declaration	A	13
(f)	NRI Declaration	Demat and Trading Account	NRI Declaration	A	13
(g)	Consent for Enquiry KYC Details/MITC	Data Sharing	Consent for sharing KYC Details	A	14-15
(h)	Debit Authorisation	Trading cum Demat Account	Voluntary and Limited purpose authorisation in favour of Broker to debit the client bank account for recovery of Account Opening Charges / Annual Maintenance Charges & DP Charges	A	16
(i)	Demat Debit and Pledge Instruction	Trading cum Demat Account	Voluntary and Limited purpose DDPI in favour of Broker for operational requirements as per client authorization / instruction	A	17-19
(j)	Account Opening/Schedule of Charges	Trading Account	Details of brokerage / charges applicable to your trading account	A	21
(k)	Voluntary clauses for trading account (Non-mandatory)	Trading Account	Clauses required for smooth operations of the client's account, Internet trading clauses, etc.	B	37-47

Dear Customer,

Welcome to SBICAP Securities Limited (SSL)

We look forward to your business and to the pleasure of serving you. To start with, we request you to complete the account opening forms, and submit the required documents. We have designed the forms for ease of completion with simple instructions at relevant places to guide you along. Should you face any difficulty in understanding the requirements, please do not hesitate to contact our staff who will be willing to assist you.

SBICAP Securities Limited (SSL) in association with State Bank of India offers Demat Trading and Bank accounts, integrated fully to offer you a Delightful trading experience which allows you to seamlessly invest online in Equity, Derivatives, Mutual Funds and Equity and MF Systematic Investment Plan (SIP). You can also invest in these products through our pan India branch network.

Some of the facilities on offer are,

- Instant Funds/ Share transfer facility
- Review of Margin Status, Holding Report, Order and Trade Book on a real time basis
- Placing of After Market Orders at your convenience
- Online real time advice/ recommendations
- Incisive research reports & well-timed advisory services
- Convenient online facility for investment in Mutual Funds, SIPs
- Telephonic Assistance through centralised Helpdesk

It shall be our endeavour, as always, to provide you a truly satisfying service.

Regards

SBICAP Securities Limited

Registered & Corporate Office:-

Marathon Futurex, Unit No. 1201, 12th Floor, B Wing, Mafatlal Mill Compound, N.M. Joshi Marg, Lower Parel East, Mumbai-400013.

Tel: 91-22-6931 6100 • Fax: 91-22-4227 3331 • E-mail: helpdesk@sbicapsec.com • www.sbisecurities.in

Compliance Officer: Mr. Rajiv Kejriwal • Phone: 022-6931 6377 • E-mail: compliancecorporate@sbicapsec.com

Managing Director: Mr. Deepak Kumar Lalla • Phone: 022-6931 6111 • E-mail: escalations@sbicapsec.com

For any grievance/dispute please contact at the above addresses or

SSL at helpdesk@sbicapsec.com or Call us: (022) 6854 5555

Customers can send in their DP related grievances to : dp.grievance@sbicapsec.com

In case not satisfied with the response please contact: NSE at ignse@nse.co.in or on (022) 2659 81 90 / 1800 22 0058

BSE at is@bseindia.com or on (022) 2272 80 97; MCX: grievance@mcxindia.com or on (022) 67318888

NCDEX: ig@ncdex.com or on (022) 66406789 | CDSL: complaints@cdslindia.com or Toll Free: 1800-22-5533

NSDL: relations@nsdl.co.in or on (022) 24994200 | SEBI: asksebi@sebi.gov.in or Toll Free: 1800-266-7575

Note: E-broking service is not available to foreign residents and Non-Resident Indians (NRIs) in United States, UK, Canada and Japan due to the respective regulations. It is available only to NRI's residing in jurisdiction permitting investment in and trading of Indian securities on Indian stock exchanges.

Account Opening Information and Choice of Accounts

VOLUNTARY

A. Types of Account

- Broking:** For investing in equities and derivatives/IPOs/Bonds Market
- Demat:** Demat Account is an account wherein you can hold shares/Bonds/MF units in the dematerialised (electronic) form.

You may open and operate these accounts in the following manner:

- 2 in 1** (Tick both) **1 in 1** (Tick Any one)
- Broking Demat Only Broking Only Demat

B. Access to you account:

You can access your account with ease and convenience through:

- Call & Trade through our Toll Free Numbers.
- Branches of SBICAP Securities Limited.

Client Profile Sheet

1. Where do you invest your excess savings / income? (Please specify)

- Savings A/c Equity Market Fixed Deposits Mutual Funds Gold Property Insurance Others _____

2. Do you Trade in

- Cash Market Derivatives Both

3. Please specify your profile

- Speculator Long Term Investor Short Term Investor Other (please specify) _____

4. Please specify amount you plan/prefer to set aside for investment every year (INR)

- Less than 1,00,000 1,00,001 - 5,00,000 5,00,001 - 10,00,000 10,00,001 and above

5. Approximate average monthly turnover in Capital Markets

- Less than 5 Lac 5 to 10 Lac 10 to 20 Lac More than 20 Lac


6. Please classify yourself as an Investor specifying your risk appetite


- Very conservative Fairly conservative Willing to take moderate risks Willing to take high risks

I / We understand that in the capacity of Stockbroker you have taken above specification for my/our client profiling. 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. I/We have read and understood Risk Disclosure Document for Capital Market and Derivatives Segment. In light of the risk involved, I/we will undertake transactions only if I/we understand the nature of transaction and the extent of exposure to the risk for an investment.

Even though I/we have given my/our profiling above, the same may vary from time to time depending on the financial and other conditions at that point of time. I/We also may choose to make an investment that may expose me to higher risk than the risk profile given above. The transactions should be executed in such circumstances and my profiling given above should not come in a way for any such execution.

Modes of Operation : Jointly Anyone of the holders or survivor (s)


FH01


SH01


TH01

Note: Please Sign within the box in BLACK INK.

ACKNOWLEDGEMENT

Application No.: AA

PAN/UID No.: _____

We acknowledge the receipt of Broking, Demat (Nomination Form*) Account Opening Form

SOLE / FIRST Holder's Name: _____

Address: _____

SECOND HOLDER Name: _____

THIRD HOLDER Name: _____

For SBICAP Securities Limited

Date: _____

Authorised Signatory

Contact No.: (022) 6854 5555 • Website: www.sbisecurities.in • E-mail: helpdesk@sbicapsec.com

* Details of the nomination will be furnished on registration with the depository.

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for clients.
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. 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.
7. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
8. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
9. 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.
10. 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID)(Aadhaar)/Passport/Voter ID card/Driving license.
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/Voter Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving/Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill (Only land line), Electricity bill or Gas bill - Not

more than 2 months old.

3. Bank Account Statement/Passbook - Not more than 2 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 Manager of Scheduled Commercial Bank/Scheduled Co-Operative Bank/Multinational Foreign Bank/Gazetted Officer/Notary public/Elected representative 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.

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 official 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.

BANK AND OTHER DETAILS (FOR TRADING & DEPOSITORY)**DESIGNATED BANK ACCOUNT DETAILS**

Account Type	PIS NRE account	NON PIS NRE (Saving account)	NRO (Saving account)
BANK Name /Branch Code			
Branch Name			
Branch Address			
Account No.			
MICR Code			
IFSC Code			

Please fill multiple bank accounts registration form for additional bank accounts.

INCOME DETAILS

Networth as on (date): - - Rs. _____ (Networth should not be older than 1 year)

DECLARATION AND UNDERTAKING (FATCA / FEMA)

For the purposes of taxation, I am a resident in the following countries and my Tax Identification Number (TIN)/functional equivalent in each country is set out below or I have indicated that a TIN/functional equivalent is unavailable (kindly fill details of all countries of tax residence if more than one):

First Holder:

Country/countries of tax residency	Tax Identification Number (TIN)	TIN Issuing Country	Documents provided (copy of certificate of residence or copy of TIN)

Documents Required: Kindly provide the documentary evidence of residence or TIN for all the countries listed in the above table.

I/We certify that:

- The information provided in the Form is in accordance with section 285BA of the Income Tax Act, 1961 read with Rules 114F to 114H of the Income tax Rules, 1962.
- The information provided by me/us in the Form, its supporting Annexures as well as in the documentary evidence provided by me/us are, to the best of our knowledge and belief, true, correct and complete and that I/we have not withheld any material information that may affect the assessment/categorization of the account as a Reportable account or otherwise.
- I/We permit/authorise SBICAP Securities Limited ('the Company') to collect, store, communicate and process information relating to the Account and all transactions therein, by the Company and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.
- I / We undertake the responsibility to declare and disclose within 30 days from the date of change, any changes that may take place in the information provided in the Form, its supporting Annexures as well as in the documentary evidence provided by us or if any certification becomes incorrect and to provide fresh self certification alongwith documentary evidence.
- I / We also agree that our failure to disclose any material fact known to us, now or in future, may invalidate our application and the Company would be within its right to put restrictions in the operations of my/our account or close it or report to any regulator and/or any authority designated by the Government of India (GOI) /RBI for the purpose or take any other action as may be deemed appropriate by the Company if the deficiency is not remedied by us within the stipulated period.
- I / We hereby accept and acknowledge that the Company shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to the Company.
- It shall be my / our responsibilities to educate myself / ourself and to comply at all times with all relevant laws relating to reporting under section 285BA of the Act read with the Rules thereunder.
- I/We also agree to furnish such information and/or documents as the Company may require from time to time on account of any change in law either in India or abroad in the subject matter herein.
- I/We shall indemnify the Company for any loss that may arise to the Bank on account of providing incorrect or incomplete information.

I hereby declare that all securities related transactions carried out by me through SSL, from time to time shall be in compliance with the provisions of Foreign Exchange Management Act, 1999 or any rules, regulations, notifications, directions, orders made there under or any other applicable law for the time being in force and will not involve and will not be designed for the purpose of any contravention or evasion of the provisions thereof.

I also hereby agree and undertake to give such information/documents as will reasonably satisfy you about the transaction in terms of the above declaration.

I also understand that if I fail / refused to comply with such requirements or do not comply with it the satisfaction of SSL, then SSL shall have the right to refuse to undertake such transaction and shall, if it has reason to believe that any contravention/evasion is contemplated by me/us report the matter to Reserve Bank of India, Stock Exchanges and/or any other statutory/regulatory authorities.

I/We am/are aware and conversant about the governing laws/ rules/ regulations/ guidelines/ provisions of FEMA, RBI and other statutory/ regulatory bodies, pertaining to opening, maintaining and operating a demat account in India; and shall abide by all the applicable laws and regulations at all times.

Date: _____

_____  FH04

Place: _____

Name: _____

ONLY FOR DEMAT ACCOUNT

I/We request you to open a Demat Account* in my name as per the details furnished in the KYC Application Form and following additional details:

* CDSL NSDL

Type of Demat Account (Please tick whichever is applicable)

NRI Repatriable (NRE) NRI Non Repatriable (NRO) Foreign National Others _____

Name of the First / Sole Holder	PAN No. <table border="1" style="width: 100%; height: 15px;"><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></table>																				
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Automatic Credit	I/We authorise you to receive credit in my / our account without any instruction from me/ us. <input type="checkbox"/> YES <input type="checkbox"/> NO
Pledge	I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end (If not marked, the default option would be 'No') <input type="checkbox"/> YES <input type="checkbox"/> NO
DDPI Operation	Account to be operated through Demat Debit And Pledge Instruction (DDPI) <input type="checkbox"/> YES <input type="checkbox"/> NO
SMS Alert Facility	Mandatory if you are giving Demat Debit And Pledge Instruction (DDPI). Ensure that the mobile number is provided in the KYC Application Form. First Holder <input type="checkbox"/> YES <input type="checkbox"/> NO Second Holder <input type="checkbox"/> YES <input type="checkbox"/> NO Third Holder <input type="checkbox"/> YES <input type="checkbox"/> NO
ECS Mandate	Do you wish to receive dividend / interest directly in to your Designated Bank Account through ECS? <input type="checkbox"/> YES <input type="checkbox"/> NO ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]
Account Statement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
RTA	I / We would like to share the email ID with the RTA <input type="checkbox"/> YES <input type="checkbox"/> NO
Standard Documents / Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both Physical and Electronic (If not marked the default option would be in Physical)
easi / Ideas	If yes, please complete registration through depository website. [BO can view his/her ISIN balances, transactions and value of the portfolio online through Depository website]

I / We request you to send Electronic Transaction-cum-Holding Statement at Sole / First Holders Email ID stated in the AoF YES NO
 SD - Annual Report Form RTA Statement of Account from Depository Participant & Depository.

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/we 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. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action. In case of non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

 _____ Name: _____	 _____ Name: _____	 _____ Name: _____
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Only for NSDL Account Holder * Only for CDSL Account Holder

DEPOSITORY SERVICE CHARGES

HEAD	CHARGES
Account Maintenance Charge NRI	₹ 600/- + GST* from 2nd year onwards
Closure of Account	Nil
For each debit transaction - On-Market (Sell Market) OR off Market instruction (% of value for per ISIN)	
with POA/DDPI (applicable for On Market Instructions only)	0.01% (Min. ₹ 21/- Max. ₹ 300/-)
For instruction submitted through internet	0.01% (Min. ₹ 21/- Max. ₹ 300/-)
For instruction submitted through Branches	0.04% (Min. ₹ 30/- Max. ₹ 50,000/-) Extra Charges ₹ 10/- per ISIN for Late submission
Buy- market and off-market	Nil
Rejection / Failed instruction	₹ 10/- per failed instruction
Dematerialisation / Rematerialisation	
For each request form - Dematerialisation	₹ 35/-
Extra for each certificate - Dematerialisation	₹ 5/-
Rematerialisation (For each request form)	₹ 35/- plus ₹ 10/- for every hundred securities or part thereof, or a flat fee of ₹ 10/-per certificate whichever is higher
Pledge Creation/Closure/Confirmation/Invocation (% of value for each ISIN in each request)	
For each ISIN Request	0.02% of Value or Min ₹ 25/- whichever is higher (Plus CDSL/NSDL Charges)
Margin / MTF Pledge for creation	Flat Rate ₹ 15/- per ISIN per transaction
Margin / MTF Pledge for closure	Flat Rate ₹ 15/- per ISIN per transaction
Non Disposal Undertaking (NDU)	0.02% of Value or Min ₹ 50/- whichever is higher
Additional Accounts Statements	
By Courier	₹ 30/-
By Email	Nil

Note: (1) The above mentioned charges are exclusive of applicable statutory levies/ taxes including Service Tax. (2) Beneficial Owner (BO) of the Demat Account will be charged applicable statutory levies / taxes including Service Tax, other taxes as they exist from time to time. (3) Mailing and courier charge for handling share in connection with Dematerialisation/Rematerialisation and for mailing physical statements will be recovered in actual basis. (4) The value of shares and charges is calculated as per CDSL / NSDLm formula and rates. (5) There will be a charge of Rs. 100/- for dishonour of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. (6) The depository services are liable to discontinuation if SSL is unable to recover charge from the customer for any reason whatsoever. In such cases there will be a charge Rs. 250/- for resumption of services and the services will be resumed after a minimum of three working days from the date of receipt of request at Centralised Processing Cell of SSL at Mumbai. (7) Any service that is not indicated above will be charged separately as per the rates applicable from time to time.


SSL reserves the right to revise the tariff structure from time to time, any change in tariff will be communicated to the BO with 30 days prior notice by email/ ordinary post/ courier. The said revised tariff will also be displayed on SSL website www.sbismart.com for BO's information/communication. BO is requested to take note of applicable tariff displayed on the SSL's website from time to time.



FH06

Name: _____

Date: _____



SH03

Name: _____

Date: _____



TH03

Name: _____

Date: _____

* The above charges are exclusive of applicable GST and other taxes / statutory charges levied by Government bodies / statutory authorities from time to time, which will be charged as applicable. * Any concession in card rates is subject to approval from the competent authority.

TRADING ACCOUNT RELATED DETAILS

I/We request you to open a Trading Account in my name as per the details furnished in the KYC Application Form and following additional details:

DESIGNATED DEMAT ACCOUNT DETAILS

DP Name																										
Depository	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL																									
Demat Type	<input type="checkbox"/> PIS NRE Account <input type="checkbox"/> Non PIS NRE (Saving Account) <input type="checkbox"/> NRO (Saving Account)																									
NRE DP ID																Client ID										
NRO DP ID																Client ID										

TRADING PREFERENCES (please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client)

Exchanges	NSE, BSE & MSEI					MCX & NCDEX
All Segments	Cash / Mutual Fund	F&O	Currency	Debt	Commodity Derivatives	
FH07	FH08	FH09	FH10	FH11	FH12	
If you do not wish to trade in any of segments / Mutual Fund, please mention here _____.						

PAST ACTIONS PLEASE (✓) AS APPLICABLE

- I hereby declare and confirm that I have not been prohibited / debarred from dealing in securities and no penalty has been imposed on me for violation of security laws/other economic offences by SEBI or any other regulatory authorities.
- I also declare that no financial / criminal penalties or proceedings are pending against me. I hereby undertake to notify you forthwith of changes in this regard and shall not do anything in violation of such orders, if any at a later date.
- I give hereunder details of action taken by SEBI / Stock Exchanges / any other authority for violation of Securities laws / other economic offences during last three years.

DEALING THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

Yes No

If client is dealing through the AP with any Other Stock Broker provide the following details (If registered with multiple members, provide details of all)

AP/Stock Broker		SEBI / AP Registration No.	
Registered office address:			
Phone:	Fax:	Website:	
Name of Exchange (if yes)	Client Code: (as given by the other broker)		

Details of disputes/dues pending from/to such stock broker/AP _____

ADDITIONAL DETAILS

(a) eContract	Electronic Contract Note (ECN) <input type="checkbox"/> ECN
Specify E-mail Id:	
(b) eBroking	Whether you wish to avail internet/wireless trading facility <input type="checkbox"/> YES <input type="checkbox"/> NO
(c) Investment/Trading Experience	<input type="checkbox"/> No prior investment experience <input type="checkbox"/> Years of experience
(d) Do you wish to receive trade confirmation SMS/email directly from the exchanges?	<input type="checkbox"/> YES <input type="checkbox"/> NO

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/ we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) / additional clauses for providing Internet/Wireless Based Trading (IBT) / 'Risk Disclosure Document' / Guidance Note and Policies & Procedures. 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.

Date: _____ Place: _____

FH13

AUTHORITY FOR MAINTENANCE OF RUNNING ACCOUNT**VOLUNTARY**

I hereby authorize SBICAP Securities Limited (SSL) to maintain a running account instead of an account on 'settlement to settlement basis' for payout of funds / securities due to me unless specifically requested by me otherwise. All the funds and securities kept to my credit by SSL may be treated as upfront margins / securities deposit, at SSL's discretion, for allowing exposure to me. Under this arrangement I shall not claim any interest on the funds and securities kept in the running account with SSL.

I also declare that I have been duly informed, that I reserve the right to revoke the authorization by giving notice in writing to you , and also understand that the revocation made by me shall not be applicable against the outstanding obligations across exchanges and that yo u shall retain such securities / funds expected to be required for meeting the obligations / margin obligations for next 5 trading days, as calculated in the manner specified by the member/exchanges.

I further agree and confirm that such periodic settlement of running account may not be necessary, either on a monthly or quarterly basis, if

- i. I am availing margin trading facility as per SEBI circulars.
- ii. I have provided funds received towards collaterals / margins in the form of Bank Guarantee (BG)/ Fixed Deposit Receipts (FDR).

Please note that I would like the mandatory settlement of the funds and securities (if applicable) as indicated below. (tick against your preference)

Monthly Basis Quarterly Basis

Note: This authorization shall be valid if signed by the client only and not by any authorized person on his behalf or any holder of Power of Attorney.

Date : _____

Place: _____


FH14

AUTHORITY FOR DIGITAL DOCUMENTS**VOLUNTARY**

I/ We hereby authorize SBICAP Securities Limited (SSL) and consent to send the documents / communications at my / our designated email address, as mentioned in Account Opening Form instead of physical copies and the delivery of documents so made shall be effective and deemed delivery to meet the requirement of providing the said information.

I agree to adhere with the terms and conditions laid down in Rights and Obligation Document (s) and same will be binding on me until revocation of this authorisation. I also declare that I have been duly informed, that I reserve the right to revoke the authorization by giving notice in writing to SSL.

I/ We undertake to inform you of any change in my email id in writing immediately.

Date : _____

Place: _____


FH15

ACKNOWLEDGEMENT CUM DECLARATION

1. I / We acknowledge hereby the receipt of and confirm having read and understood the contents of the 'Rights and Obligations' document(s) / additional clauses for providing Internet/Wireless Based Trading (IBT) / 'Risk Disclosure Document' / Guidance Note / Policies & Procedures and tariff sheet . 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 website www.sbismart.com.

2. I / We further acknowledge hereby the receipt of Right and Obligation of Beneficial Owner and depository participant and Terms and Conditions-cum-Registration / Modification form for receiving SMS Alerts from CDSL through email/Hard copy. I/We have read and understood the above and I/We agree to abide by the same.

3. I/We further confirm having read and understood the contents of Voluntary Clauses for Trading and Conditions for availing Mutual Fund (mf) / Initial Public Offer (ipo) facilities.

I/We do agree to be bound by such provisions as outlined in these documents and agree to abide by them and any amendments thereto made by the SSL from time to time.

I/We do not agree by such provisions as outlined in these documents.


FH16

Name: _____

Date: _____


SH04

Name: _____


TH04

Name: _____

NOMINATION FORM FOR INDIVIDUALS ONLY (Demat & Trading Account)

NRE BO Account Details: _____ **Trading Code:** _____ **Date:** _____

NRO BO Account Details: _____ **Trading Code:** _____ **Date:** _____

I/We the Sole holder/Joint holders/Guardian (in case of minor) hereby declare that:

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

NOMINEE-1 DETAILS	NOMINEE-2 DETAILS	NOMINEE-3 DETAILS
Name: _____	Name: _____	Name: _____
Address : _____	Address : _____	Address : _____
City: _____ State: _____	City: _____ State: _____	City: _____ State: _____
Pin. _____ Country: _____	Pin. _____ Country: _____	Pin. _____ Country: _____
Fax: _____ Tel.: _____	Fax: _____ Tel.: _____	Fax: _____ Tel.: _____
Mobile: _____	Mobile: _____	Mobile: _____
E-mail ID: _____	E-mail ID: _____	E-mail ID: _____
Relationship with Nominee (if any): _____	Relationship with Nominee (if any): _____	Relationship with Nominee (if any): _____
DoB of Nominee: _____	DoB of Nominee: _____	DoB of Nominee: _____

GUARDIAN DETAILS (If nominee is a minor)

As the, Nominee is a minor as on date, I/We appoint following person to act guardian and to receive the securities in this account on behalf of the Nominee in the event of death of the Soleholder/all Joint holders.

GUARDIAN-1 DETAILS	GUARDIAN-2 DETAILS	GUARDIAN-3 DETAILS
Name: _____	Name: _____	Name: _____
Address : _____	Address : _____	Address : _____
City: _____ State: _____	City: _____ State: _____	City: _____ State: _____
Pin. _____ Country: _____	Pin. _____ Country: _____	Pin. _____ Country: _____
Fax: _____ Tel.: _____	Fax: _____ Tel.: _____	Fax: _____ Tel.: _____
Mobile: _____	Mobile: _____	Mobile: _____
E-mail ID: _____	E-mail ID: _____	E-mail ID: _____
Relationship with Nominee (if any): _____	Relationship with Nominee (if any): _____	Relationship with Nominee (if any): _____
DoB of Nominee: _____	DoB of Nominee: _____	DoB of Nominee: _____

IDENTIFICATION DETAILS OF NOMINEE / GUARDIAN (only if nominee is a minor)

Identification details - [Please tick any one of following and provide details of same]	Nominee-1	Nominee-2	Nominee-3
<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

_____ ✍️ Signature of Guardian _____ ✍️ Signature of Guardian _____ ✍️ Signature of Guardian

	Nominee-1	Nominee-2	Nominee-3
Percentage of allocation of securities :	%	%	%

***Residual Securities (Please tick if any) :**

I/We do not wish to nominate any one for this Demat & Trading Account.

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me / us.

Name: _____	Name: _____	Name: _____

(To be filled by DP)

Nomination accepted and registered vide Registration No. _____

For SBICAP Securities Limited

Dated _____

Authorised Signatory

*Residual Securities: In case of multiple nominees, please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

NOTES FOR DEPOSITORY ACCOUNT

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. 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 and the Participant 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 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.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
5. Strike off whichever is not applicable.
6. Bank Proof:
 - I. Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
 - II. Photocopy of the Bank Statement having name and address of the BO
 - III. Photocopy of the Passbook having name and address of the BO, (or)
 - IV. Letter from the Bank.
 - V. In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

NRI'S ONLY (to be filled in by the BRANCH)

NRE PIS Details	RBI Ref No. _____	RBI Approval Date:	D	D	M	M	Y	Y	Y	Y
PIS Account No.										

INTRODUCERS DETAILS (OPTIONAL)

Name										
Status of the Introducer	<input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee of A & S <input type="checkbox"/> Other (Specify) _____									
Address										
	City					State				
	Pin Code					Country				
Contact Details	Tel.					<div style="border: 1px solid black; padding: 5px; width: 100%;">Signature of Introducer</div>				
	Mobile:									

OFFICE USE ONLY

Client Interviewed By

Name of the Employee										
Employee Code						Designation				
Date										
Signature of the interviewer										

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.

For SBICAP Securities Limited

Authorised Signatory

Overseas Citizens of India (OCI) Declaration (Not to be used by citizens of Bangladesh or Pakistan)

Dear Sir/Madam,

I am a citizen of _____ (country name) and an Overseas Citizen of India (OCI).

I _____ hereby declare that I am present in INDIA on the date of making this application and that all the information given by me here is true, accurate and complete.

I hold a Foreign Passport, bearing no _____ and OCI card no. _____ and therefore I am eligible to open NRI account.


Further I hereby submitting following documents in support of my declaration.

I confirm the above information is true and correct and that I may be required to prove my status as a OCI if I'm questioned by any authority.

 FH18


Name: _____

Date: _____

 SH06

Name: _____

Date: _____

 TH06

Name: _____

Date: _____

ADDRESS DECLARATION

I / We hereby declare that the address mentioned below Post Office Box Number _____ is my Permanent / Correspondence address.

 FH19


Name: _____

Date: _____

 SH07

Name: _____

Date: _____

 TH07

Name: _____

Date: _____

SEAFARERS ACCOUNT OPENING DECLARATION (IF APPLICABLE)

I hereby decalre and confirm that I am a Non-Resident Indian and I am presently / was on contract with _____ (company) registered in _____ (address of the principal). I request you to open a NRE / NRO Trading cum Demat in my name on the basis of the submitted documents.

I also confirm that I will inform the SBICAP Securities, in case do not renew my contract or choose to go on a new contract OR I am unable to proceed on a new contract or in any case in the event that my status of Non-Resident Indian is altered. Accordingly, I will have the Non-Resident account in my name redesignated to Resident / RFC accounts (as applicable).

 FH20

Name: _____

Date: _____

 SH08

Name: _____

Date: _____

 TH08

Name: _____

Date: _____

NRI DECLARATION

I hereby declare that I am a Non Resident Indian (NRI) / Overseas Citizen of India (OCI).

I understand that the above account will be open on the basis of statement/declaration made by me and I agree to compensate you for any loss incurred by SBICAP Securities Ltd (SSL) due to any incorrect statement(s)/declaration(s) made herein.

I declare that I shall necessarily take delivery of the shares purchased and give delivery of the shares sold. I declare that I shall not indulge in intra-day purchase or sale of shares. I also understand that NRIs are not permitted to indulge in short selling of shares.

I hereby declare that at any point of time I shall NOT remain invested in shares of listed Indian companies, both on repatriation and nonrepatriation basis under PIS route over and above such percentage of paid up equity capital / paid up value of each series of convertible debentures of listed Indian companies as notified by RBI from time to time.

I hereby declare that I shall not purchase shares of Company under the Portfolio Investment Scheme which are in the Banned List as notified by RBI from time to time.

I do hereby declare that shares purchased by me on the stock exchange under PIS shall not be transferred by way of sale under private arrangement or by way of gift to a person resident in India or outside India (except to my relatives as defined in Section 6 of Companies Act, 1956 or to a charitable trust duly registered under the laws in India) without prior approval of RBI.

I also hereby agree that I shall solely be liable for any non-compliance of the SEBI / RBI guidelines or any other relevant directives / guidelines issued from time to time and that may be in force due to false/misleading information given by me or suppression of any material fact, both intentional or unintentional on my part and shall be solely liable for any action initiated by any of the regulatory authorities concerned.

I undertake to abide by the local Laws, Rules & Regulations in India and confirm that the country of my residence other than India does not prohibit On Line Trading or trading/investing or doing business through the electronic platform or through any other mode as may be permitted by the law of that country.

I/ We are not a resident and / or citizen of any jurisdiction which restricts or prohibits sale of Indian securities to its residents and/or citizens; I/We shall notify SSL immediately of such change in the status in the event I/We becomes resident and / or citizen of any such jurisdiction.




Name _____

 FH21

MOST IMPORTANT TERMS AND CONDITIONS (MITC)

(For Non-Custodial Settled Trading Accounts)

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

Applicant	Joint Holder	Third holder
 FH 23	 SH 09	 TH 09
Name		

DEBIT AUTHORISATION

Client Name : _____

Address : _____

To,

(Banker Name)

Reference: NRE A/c _____ **NRO A/c** _____

Dear Sir,

Subject: Debit Authorisation

I/We entered into an understanding to open a beneficial owner's account / Trading Account with SBICAP Securities Limited (SSL) for availing Depository, Trading facilities and other services offered by SSL.

And for the purpose of providing seamless Depository and Trading facility by SSL, I / We hereby authorize SSL to operate my/our Bank Account by way of putting a hold, marking of lien, blocking of funds and debiting my/our Bank Account towards the below mentioned charges / heads or as will be intimated to me / us by SSL from time to time and payable by me/ us:


Head	Frequency
Account Opening Charges	Once
Annual Maintenance Charges	As Applicable
DP Charges (as per tariff sheet)	Monthly
Other Products / Services	As Applicable
Delay Payment Charges	As Applicable
Trading loss/ Mark to market loss/ Margin Obligation(s)	As Applicable
Delivery Obligation	As Applicable
Delay Payment Charges	As Applicable
Any other outstanding dues	As Applicable
Subscription/Investment amount in Public Offerings & Third Party Financial Products	As Applicable
Other charges	As Applicable

I/We, the undersigned, hereby authorize THE BANK to honour the instructions given by SSL to hold /mark a lien / transfer all or any funds from my / our above mentioned account to SSL as may be requested for by SSL for the above mentioned charges/dues/ subscription/investment amount. I/We confirm that any such requests and / or instructions given by SSL shall be completely binding on me / us.


I/ We undertake that I /we shall always maintain sufficient balances to enable SSL to recover / debit the aforesaid mentioned charges/ dues/subscription/investment amount from the account and I/we shall not act in any manner to impair the rights of SSL to recover the same.

I/We undertake that BANK/SSL shall not be liable for any loss that may result from failure / inability of electronic connectivity or otherwise. And I/We hereby agree to ratify all the acts, and things done by THE BANK/SSL through any of its officers / employees pursuant to the powers herein above contained, which shall be binding on me/us.


Details of Account Holder(s) in Bank

 FH24 _____

First Holder Name _____

 SH10 _____

Second Holder Name _____

 TH10 _____

Third Holder Name _____

DEMAT DEBIT AND PLEDGE INSTRUCTION

DDPI Serial No. : _____
 Application No. : _____
 DP ID : _____
 Trading Code : _____
 Client Name : _____

S.No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">FH25</div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">SH11</div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> <div style="text-align: right; font-size: small;">TH11</div>
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">FH26</div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">SH12</div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> <div style="text-align: right; font-size: small;">TH12</div>
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">FH27</div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">SH13</div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> <div style="text-align: right; font-size: small;">TH13</div>
4.	Tendering shares in open offers through Stock Exchange platforms	<div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">FH28</div> <div style="border: 1px solid black; width: 100%; height: 20px; margin-bottom: 5px;"></div> <div style="text-align: right; font-size: small;">SH14</div> <div style="border: 1px solid black; width: 100%; height: 20px;"></div> <div style="text-align: right; font-size: small;">TH14</div>

* the same may be signed physically against each purpose of DDPI. The same may also be eSigned. In case of eSign, client shall be given an option for choosing the specific purpose(s) of DDPI.

List of Demat Accounts where securities can be moved or pledged

DP Name	DP ID	BO ID	Remarks	DP Name	DP ID	BO ID	Remarks
SBICAP Securities Ltd	12047200	00100383	BSE PAYIN POOL A/c	SBICAP Securities Ltd	12047200	00100419	NSE POOL A/c
SBICAP Securities Ltd	IN306114	10000045	BSE POOL A/c	SBICAP Securities Ltd	IN306114	10000037	NSE POOL A/c
SBICAP Securities Ltd	IN306114	11924631	NSDL Margin Pledge A/c	NSE Clearing House	11000011	00014437	NSE EPI Pool A/c
SBICAP Securities Ltd	12047200	19284653	CDSL Margin Pledge A/c	BSE Clearing House	11000010	00017938	BSE EPI Pool A/c
SBICAP Securities Ltd	IN306114	11924631	Client Securities Margin Pledge A/c	SBICAP Securities Ltd.	12047200	19284653	Client Securities Margin Pledge A/c
SBICAP Securities Ltd	IN306114	12749510	Client Securities Margin Funding A/c	SBICAP Securities Ltd.	12047200	21437301	Client Securities Margin Funding A/c
SBICAP Securities Ltd	IN306114	13330995	Client Unpaid Securities Pledgee A/c	SBICAP Securities Ltd.	12047200	32702691	Client Unpaid Securities Pledgee A/c

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DEMAT DEBIT AND PLEDGE INSTRUCTION

DDPI Serial No. : _____
 Application No. : _____
 DP ID : _____
 Trading Code : _____
 Client Name : _____

S.No.	Purpose	Signature of Client *
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	<div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">FH29</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">SH15</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">TH15</div>
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	<div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">FH30</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">SH16</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">TH16</div>
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	<div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">FH31</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">SH17</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">TH17</div>
4.	Tendering shares in open offers through Stock Exchange platforms	<div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">FH32</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">SH18</div> <div style="border: 1px solid black; width: 100%; height: 20px; text-align: right; padding-right: 5px;">TH18</div>

* the same may be signed physically against each purpose of DDPI. The same may also be eSigned. In case of eSign, client shall be given an option for choosing the specific purpose(s) of DDPI.

List of Demat Accounts where securities can be moved or pledged

DP Name	DP ID	BO ID	Remarks	DP Name	DP ID	BO ID	Remarks
SBICAP Securities Ltd	12047200	00100383	BSE PAYIN POOL A/c	SBICAP Securities Ltd	12047200	00100419	NSE POOL A/c
SBICAP Securities Ltd	IN306114	10000045	BSE POOL A/c	SBICAP Securities Ltd	IN306114	10000037	NSE POOL A/c
SBICAP Securities Ltd	IN306114	11924631	NSDL Margin Pledge A/c	NSE Clearing House	11000011	00014437	NSE EPI Pool A/c
SBICAP Securities Ltd	12047200	19284653	CDSL Margin Pledge A/c	BSE Clearing House	11000010	00017938	BSE EPI Pool A/c
SBICAP Securities Ltd	IN306114	11924631	Client Securities Margin Pledge A/c	SBICAP Securities Ltd.	12047200	19284653	Client Securities Margin Pledge A/c
SBICAP Securities Ltd	IN306114	12749510	Client Securities Margin Funding A/c	SBICAP Securities Ltd.	12047200	21437301	Client Securities Margin Funding A/c
SBICAP Securities Ltd	IN306114	13330995	Client Unpaid Securities Pledgee A/c	SBICAP Securities Ltd.	12047200	32702691	Client Unpaid Securities Pledgee A/c

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ACCOUNT OPENING CHARGES

Scheme Name	Tenure	Scheme Charges	Benefit & DP AMC
NRI1	Lifetime	Account Opening charges ₹ 1000 + GST	DP AMC for 1st year is free and from 2nd year onwards customer ₹ 600 +GST

SCHEDULE OF BROKERAGE / CHARGES AND TAXES

Segment	Delivery	Intra-Day		Minimum
		First leg / Lot	Second Leg / Lot	
Cash Market	0.60%	0.06%	0.06%	₹ 0.05
Derivatives	Future	0.05%	0.03%	₹ 0.01
	Option*	₹ 50/-	₹ 50/-	
Currency Derivatives	Future	0.03%	0.015%	
	Option*	₹ 30/-	₹ 20/-	
Transaction brokerage (SSL + SBI)	0.60% + GST (0.50% + 0%)			

* Per Lot

Scheme Name	Tenure	Scheme Charges	Benefit & DP AMC
NRI (Wealth)	Lifetime	₹ 500 + GST	DP AMC for 1st year is free and from 2nd year onwards customer ₹ 300 +GST

SCHEDULE OF BROKERAGE / CHARGES AND TAXES

Segment	Delivery	Intra-Day		Minimum
		First leg / Lot	Second Leg / Lot	
Cash Market	0.50%	0.05%	0.05%	₹ 0.05
Derivatives	Future	0.05%	0.03%	₹ 0.01
	Option*	₹ 50/-	₹ 50/-	
Currency Derivatives	Future	0.03%	0.02%	
	Option*	₹ 30/-	₹ 20/-	
Transaction brokerage (SSL + SBI)	0.50% + GST (0.50% + 0%)			

* Per Lot

TERMS AND CONDITIONS

- (a) The client will be charged brokerage, commission, fees, depository charges, charges for short messaging alerts and applicable statutory levies/taxes including service tax, securities transaction tax, other taxes, and transaction expenses as they exist from time to time.
- (b) SBICAP securities Ltd. (SSL) shall from time to time subject to Exchange/Depository provisions and restrictions imposed in this behalf by SEBI, determine and modify the amount of brokerage, charges, commission, fees, and other charges plus applicable taxes payable per transaction by the client. Such changes will be intimated to the Client by ordinary post and published on the SSL website in writing and as mutual agreed upon.

The client shall abide by the above terms and conditions and pay applicable charges as levied by SSL to subscribe for any product/scheme(s).


FH33

GDPR CONSENT FORM

Your privacy is important to us, and we want to communicate with our registered clients in a way which has their consent, and which is in line with EU General Data Protection Regulation 2016/679 (GDPR). As a result of a change in law, we shall be controlling, collecting and processing your personal data only with your consent.

Name _____ Name As Per PAN _____

Client Code _____ Phone Number _____

Email Address _____

(All other details as mentioned in KYC Form)

By signing this form you are confirming that you are consenting to SBICAP Securities Limited holding and processing your personal data for the following purposes (please tick the boxes where you grant consent):-

I consent (Tick indicates your consent)

- To be contacted from time to time by post or phone or email
- Be kept informed about news, events, activities and services at SSL (note you can unsubscribe at any time);
- To include my details in the 'Mailer Directory' which is circulated to all registered clients.
- To provide accurate details and inform SSL of any change as and when it takes place to keep the information relevant and updated

Kindly further note,

- that your contact details may be shared to comply with regulations currently applicable or amended or introduced at a later date
- the information held with regulatory authorities will be for indefinite period and SSL may not be able to retrieve / delete / erase that on specific request for deletion

Signed: _____

Dated: _____

You can grant consent to all the purposes; one of the purposes or none of the purposes. Where you do not grant consent we will not be able to use your personal data; (so for example we may not be able to let you know about forthcoming services and events); except in certain limited situations, such as where required to do so by law or to protect members of the public from serious harm. You can find out more about how we use your data from our "Privacy Policy" and "Website Cookie Policy" which is available from our website.

You can withdraw or change your consent at any time by contacting the helpdesk at helpdesk@sbicapsec.com. Please note that all processing of your personal data will cease once you have withdrawn consent, other than where this is required by law, but this will not affect any personal data that has already been processed prior to this point.

Under the GDPR you have the right to know what personal data we collect and store and you may request a copy of the same at any time. You are also entitled to have personal data corrected, you may request us to delete your personal data and/or you can object to certain personal data being used or, where applicable, ask us to restrict the processing of personal data. You further have the right to lodge a complaint with the competent supervisory data protection authority.

Registered & Corporate Office:-

Marathon Futurex, Unit No. 1201, 12th Floor, B Wing, Mafatlal Mill Compound, N.M. Joshi Marg,
Lower Parel East, Mumbai-400013.

Tel: 91-22-6931 6100 • Fax: 91-22-4227 3331 • E-mail: helpdesk@sbicapsec.com • www.sbisecurities.in

Compliance Officer: Mr. Rajiv Kejriwal • Phone: 022-6931 6377 • E-mail: compliancecorporate@sbicapsec.com

Managing Director: Mr. Deepak Kumar Lalla • Phone: 022-6931 6111 • E-mail: escalations@sbicapsec.com

For any grievance/dispute please contact at the above addresses or
SSL at complaints@sbicapsec.com or Call us: (022) 6854 5555

Customers can send in their DP related grievances to : dp.grievance@sbicapsec.com

In case not satisfied with the response please contact: NSE at ignse@nse.co.in or on (022) 2659 81 90 / 1800 22 0058

BSE at is@bseindia.com or on (022) 2272 80 97; MCX: grievance@mcxindia.com or on (022) 67318888

NCDEX: ig@ncdex.com or on (022) 66406789 | CDSL: complaints@cdslindia.com or Toll Free: 1800-22-5533

NSDL: relations@nsdl.co.in or on (022) 24994200 | SEBI: asksebi@sebi.gov.in or Toll Free:1800-266-7575

IT SITE VERIFIED	WATCHOUT INVESTORS VERIFIED
Name : _____ _____ Date : _____	Name : _____ _____ Date : _____
1st VERIFICATION	2nd VERIFICATION
<input type="checkbox"/> ACCEPT <input type="checkbox"/> REJECT	<input type="checkbox"/> ACCEPT <input type="checkbox"/> REJECT
Name : _____ Date : _____	Name : _____ Date : _____
3rd VERIFICATION	4th VERIFICATION
<input type="checkbox"/> ACCEPT <input type="checkbox"/> REJECT	<input type="checkbox"/> ACCEPT <input type="checkbox"/> REJECT
Name : _____ Date : _____	Name : _____ Date : _____
5th VERIFICATION	6th VERIFICATION
<input type="checkbox"/> ACCEPT <input type="checkbox"/> REJECT	<input type="checkbox"/> ACCEPT <input type="checkbox"/> REJECT
Name : _____ Date : _____	Name : _____ Date : _____
TRADING DATA ENTRY DETAILS	DP DATA ENTRY DETAILS
Name : _____ _____ Date : _____	Approved by : _____ _____ Date : _____
DP AUTHORIZATION DETAILS	SPECIAL APPROVAL
Name : _____ _____ Date : _____	Approved by : _____ _____ Date : _____

If rejected return to

