

# Individual Application Form

Trading Account Opening Form

Demat Account Opening Form

Policies & Procedures

Terms & Conditions

**Equities | Derivatives | Commodities**

**ACCOUNT OPENING KIT – INDEX (PART A)**

SR NO.	NAME OF THE DOCUMENT	BRIEF DESCRIPTION OF THE DOCUMENT	PAGE NO.
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		B. Document captures the additional information about the Client relevant to Trading / Depository Participant (DP) Account and an instruction / checklist	4-12
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9	Rights and Obligations of beneficial owner & Depository Participant	Document stating the Rights & Obligations of Beneficial Owner and Depository Participant	
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**TM CM Name: TRDEZ INVESTMENT PRIVATE LIMITED**

Member: National Stock Exchange of India Limited  
**TM Code: 90366, Segment: Cash, F&O, Currency and Commodity**  
**CM ID: 90366- NCL**  
**SEBI Regn. No: INZ000311938**  
Member: BSE Limited  
**TM Code: 6818, Segment: Cash**  
**SEBI Regn. No: INZ000311938**  
Member: Multi Commodity Exchange of India Limited  
**TM Code: 57250, Segment: Derivatives & Commodity**  
**CM ID :57250, MCXCL**  
**SEBI Regn. No: INZ000311938**  
**DP: Central Depository Services (I) Ltd.**  
**DP member Name: TRDEZ INVESTMENT PRIVATE LIMITED**  
**DP ID: .....**  
**SEBI Regn. No: INZ**

**Registered Office:**

FLAT NO. 1003, BLDG-M, SARANG, NANDED, PUNE-411041

**Corporate Office:**

 OFFICE-301, 3<sup>rd</sup> FLOOR, CELLO PLATINA, LALIT MAHAL CHOWK, FC ROAD, PUNE-411005  
 Contact – 18002682899 | contact@trdez.com | [www.trdez.com](http://www.trdez.com)
**Compliance Officer:** Mr. Dinesh Bhagat

 (Mob no.: +91 8956135988; E-mail: [compliance@trdez.com](mailto:compliance@trdez.com))

**Managing Director:** Mr. Sachin Khadtare

 (Tel. +91 8069917107; E-mail: [md@trdez.com](mailto:md@trdez.com))

 For any grievance/dispute, please contact us at our above corporate address or e-mail us at [grievances@trdez.com](mailto:grievances@trdez.com)

In case not satisfied with the response, you may contact the following:

BSE Limited	+91 22 2272 8097	<a href="mailto:is@bseindia.com">is@bseindia.com</a>
National Stock Exchange of India Limited	1800-266-0050	<a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a>
Multi Commodity Exchange of India Limited	+91 22 6731 8888	<a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a>
Central Depository Services (India) Limited	1800 - 210 - 9910	<a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a>

**MANDATORY KYC DOCUMENTS – CHECKLIST**

Sr no.	ACCEPTABLE DOCUMENTS (Copies of all the documents to be Self Attested)		Please Tick
1	Proof of Identity	PAN Card – Account Holder & Joint Holder's (if any)	
2	Photograph	One Colored Front Face Photograph (Passport Size)	
3	Additional Proof of Identity (Any One)  (If Pan card not visible <b>OR</b> Pan card sign & signature in KYC from are different)	1. Aadhaar Card	
		2. Valid Passport (Name, Address & Photo page)	
		3. Voter ID (front & back)	
		4. Valid Driving License (Name, Address & Photo page)	
		5. PAN Card	
		6. Other (Please specify)	
4	Proof of Address (Anyone) Permanent/ Correspondence	1. Aadhaar Card	
		2. Valid Passport (Name, Address & Photo page)	
		3. Voter ID (front & back)	
		4. Valid Driving License (Name, Address & Photo page)	
		5. Bank Statement/ Passbook with complete address of client (not more than 3 months old)	
		6. Banker's Verification Letter	
		7. Electricity Bill (not more than 3 months old)	
		8. Residence Landline Telephone Bill (not more than 3 months old)	
		9. Registered Flat Sale Agreement of Residence	
		10. Registered Lease/ Leave & License Agreement	
5	Bank Proof with MICR / IFSC Code (1st Holder only)	1. Cancelled Personalized Original Cheque Leaf	
		2. Bank Statement/ Passbook with original cheque leaf (not more than 3 months old)	
		3. Banker's Certificate on letter head of the Bank (Original)	
6	Proof of Income (Any One) (1st Holder only) (Mandatory for F & O / Currency / Commodity Segments)	1. Copy of ITR Acknowledgement	
		2. In case of salary income Salary Slip, Copy of Form 16	
		3. Net-worth certificate (Not more than 1 year old)	
		4. Copy of Demat Account Holding Statement	
		5. Bank Account Statement for last 6 months reflecting income	
		6. Any other relevant documents substantiating ownership of assets	

## IMPORTANT GENERAL INSTRUCTIONS FOR COMPLETING THE CLIENT REGISTRATION FORM

### General Instructions

1. Please ensure that the form is complete in all respects. Strike off whichever option is not applicable.
2. Please fill all information in capital letters and in blue/ black ink only.
3. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature.
4. Name & Address of the client mentioned in the KYC form, should match with the documentary proof submitted.
5. Email ID & Mobile Number is mandatory for account related passwords and transaction details.
6. Original documents are to be produced for verification at the time of submission of the form.
7. All supportive documents are to be self-attested by Client.
8. Sole proprietor must make the application in his individual name & capacity.
9. The Investor Charter is available on our website [www.trdez.com](http://www.trdez.com), please refer to it.

### 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.
12. Cancelled cheque must have 'Cancelled clearly written and should also contain client's name and signature
13. Handwritten account details on client's passbook must be bank certified
14. Passbook must contain stamp on the first page
15. Stockbroker does not deal with its client vis-a-vis their trading by way of third-party cheques. Accordingly, if any payment is made otherwise, then it is not credited to the client account and is held in suspense account.
16. In case of non-individual process, the latest MOA and AOA should be submitted

### 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.
4. All files uploaded by customers should be in an appropriate format and all contents should be visible & legible. Client's photograph must be visible with no obstruction.
5. Back side of Aadhar Card with UID visible should be uploaded by client wherever required.

### 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.
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 / Gazette 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. Proof of address in the name of the spouse may be accepted.

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

1. In case of transactions undertaken on behalf of Central Government and /or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities / multilateral agencies exempt from paying taxes / filing tax returns in India.

### 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.
3. Form need to be initialized by all the authorized signatories.

### SIGNATURE TYPES

SIGNATURE TYPES	
SFH	Signature of Client / First Holder
SSH	Signature of Second Holder
STH	Signature of Third Holder
SNIC	Signature of Non-Individual Client
SAS	Signature of Authorised Signatory
SOI	Signature of Introducer

TYPE OF ENTITY	ADDITIONAL DOCUMENTS REQUIRED OVER AND ABOVE PAN, POI AND POA
Trust	<ul style="list-style-type: none"> <li>• Copy of Balance Sheet for the last two financial years (to be submitted every year).</li> <li>• Certificate of Registration (for registered Trusts only).</li> <li>• Copy of Trust Deed.</li> <li>• List of Trustees certified by Managing Trustees/ CA</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of Declaration of HUF or List of Co-Parceners.</li> <li>• Bank Passbook/ Bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of KARTA.</li> </ul>
Unincorporated Association or a Body of Individuals	<ul style="list-style-type: none"> <li>• Proof of existence or Constitution document.</li> <li>• Resolution of Managing Body and power of Attorney granted to transact business on its behalf.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> <li>• Self certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Society Registration Act.</li> <li>• List of managing committee members.</li> <li>• Committee Resolution for persons authorized to act as authorised signatories with specimen signatures.</li> <li>• True copy of society rules and by-laws certified by Chairman/Secretary.</li> </ul>
FPI Category I	<ul style="list-style-type: none"> <li>• FPI Certificate</li> <li>• Constitution Documents</li> <li>• Copy of Board Resolution (optional)</li> <li>• Shareholding pattern and Ultimate Beneficiary Owners List (UBO)</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
FPI Category II	<ul style="list-style-type: none"> <li>• FPI Certificate</li> <li>• Constitution Documents</li> <li>• Copy of Board Resolution</li> <li>• Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>

**KNOW YOUR CLIENT (KYC) / APPLICATION FORM FOR ACCOUNT OPENING (FOR INDIVIDUALS ONLY) (MANDATORY)**

Please fill in ENGLISH and in BLOCK LETTERS (\*Mandatory fields)

Application Type\*:  New KYC  Re KYC (Modification)

FIRST HOLDER

A. IDENTITY DETAILS OF THE APPLICANT*		
1. Photograph		<p><b>Photograph:</b> please affix your recent passport size photograph and sign across it</p> <p>Signature: SFH (1/22)</p>
2. Name of the Applicant		
3. Father's / Spouse Name		
4. Mother's Name		
5. Maiden Name		
6. Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	
7. Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Other	
8. Date of Birth		
9. PAN		
10. AADHAAR Number (if any)		
11. Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non-Resident <input type="checkbox"/> Person of Indian Origin <input type="checkbox"/> Foreign National (Passport Copy Mandatory for NRIs & Foreign National) <b>Tick if Applicable</b> <input type="checkbox"/> Residence for tax purposes in jurisdiction(s) outside India ISO 3166 Country Code of Jurisdiction of residence <input type="checkbox"/> <input type="checkbox"/> Place of Birth _____	
12. Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others _____	
13. Proof of Identity Submitted	<input type="checkbox"/> PAN <input type="checkbox"/> Others _____	
14. Remarks / Additional info		

B. ADDRESS DETAILS OF THE APPLICANT*	
<p>1. Address for Correspondence</p>	<p>City/Village/Town*: _____ District*: _____</p> <p>Pin code*: _____</p> <p>State*: _____ Country*: _____</p>
<p>2. Proof of Address to be provided by the Applicant. Please submit ANY ONE of the valid documents &amp; tick against the document attached.</p>	<p> <input type="checkbox"/> Passport  <input type="checkbox"/> Aadhar Card  <input type="checkbox"/> Ration Card  <input type="checkbox"/> Registered Lease / Sale Agreement of Residence  <input type="checkbox"/> Driving License  <input type="checkbox"/> Voter Identity Card  <input type="checkbox"/> Latest Bank A/c Statement / Passbook*  <input type="checkbox"/> Latest Telephone Bill (only Land Line)*  <input type="checkbox"/> Latest Electricity Bill*  <input type="checkbox"/> Latest Gas Bill*  <input type="checkbox"/> Others _____         </p> <p>*Not more than 3 months old. Validity/Expiry date of proof of address submitted:            _____(DD/MM/YYYY)</p>
<p>3. Permanent Address of the Resident Applicant if different from above B1) OR overseas Address (Mandatory) for Non-Resident Applicant</p>	<p>City/Village/Town*: _____ District*: _____</p> <p>Pin code*: _____</p> <p>State*: _____ Country*: _____</p>
<p>4. Proof of Address to be provided by the Applicant. Please submit ANY ONE of the valid documents &amp; tick against the document attached.</p>	<p> <input type="checkbox"/> Passport  <input type="checkbox"/> Aadhar Card  <input type="checkbox"/> Ration Card  <input type="checkbox"/> Registered Lease / Sale Agreement of Residence  <input type="checkbox"/> Driving License  <input type="checkbox"/> Voter Identity Card  <input type="checkbox"/> Latest Bank A/c Statement / Passbook*  <input type="checkbox"/> Latest Telephone Bill (only Land Line)*  <input type="checkbox"/> Latest Electricity Bill*  <input type="checkbox"/> Latest Gas Bill*  <input type="checkbox"/> Others _____         </p> <p>*Not more than 3 months old. Validity/Expiry date of proof of address submitted:            _____(DD/MM/YYYY)</p>

C. CONTACT DETAILS OF THE APPLICANT				
All communications will be sent on provided Mobile no. and Email ID				
1. Telephone (Office)				
2. Telephone (Residence)				
3. Mobile				
4. Email ID				
DECLARATION		SIGNATURE OF APPLICATION		
I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.		<i>Signature SFH (2/22)</i>		
Place:				
Date:				
FOR OFFICE USE ONLY				
Details of the Employee / Intermediary	<input type="checkbox"/> Documents verified with originals	<input type="checkbox"/> Client Interviewed by & In-Person Verification done by	<i>Stamp of the Intermediary</i>	
Name				
Empl. / Int. Code				
Designation				
Date & Signature				



**ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT**

- I/We hereby consent to map my/our UCC in my/our demat account in respective exchange(s) / Segment(s) where I/we register with you.
- Type of Account (Please tick whichever is applicable).

Status	Sub-Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Individual Director
	<input type="checkbox"/> Individual Directors Relative	<input type="checkbox"/> Individual HUF AOP
	<input type="checkbox"/> Individual Promoter	<input type="checkbox"/> Minor
	<input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable	<input type="checkbox"/> NRI Non-Repatriable
	<input type="checkbox"/> NRI Repatriable Promoter	<input type="checkbox"/> NRI Non-Repatriable Promoter
	<input type="checkbox"/> NRI Depository Receipt	<input type="checkbox"/> Others (Specify) _____
<input type="checkbox"/> Individual Resident	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National – Depository Receipt <input type="checkbox"/> Others (Pls Specify) _____	

**Details of Guardian (In case the account holder is minor)**

Guardian's Name	
PAN	
Relationship with Guardian	

**TRADING AND DEMAT ACCOUNT RELATED DETAILS**
**A. BANK ACCOUNT DETAILS (BANK 1 WILL BE CONSIDERED AS DEFAULT)**
**BANK 1**

1. Bank Name			
2. Bank Branch Location			
3. Account No.			
4. MICR Code			
5. IFSC Code			
6. Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others _____

**BANK 2**

1. Bank Name			
2. Bank Branch Location			
3. Account No.			
4. MICR Code			
5. IFSC Code			
6. Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Others _____

**B. DEPOSITORY / DEMAT ACCOUNT DETAILS**

<b>DP 1 – Demat Account with CDSL DP – Trdez Investment Private Limited</b>		<input type="checkbox"/> Default Payout
<b>DP 2</b>		<input type="checkbox"/> Default Payout
1. Select DP	<input type="checkbox"/> Current	<input type="checkbox"/> Others _____
2. Depository Participant Name		
3. DP ID No.		
4. BO Client ID		

C. TRADING PREFERENCE				
Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by client				
SEGMENT	NSE	BSE	MCX	NCDEX
Equity	SFH (3/22)		NA	NA
Equity Derivative	SFH (4/22)	NA	NA	NA
Currency Derivative	SFH (5/22)	NA	NA	NA
Commodity Derivative	NA	NA	SFH (6/22)	NA

If in future, you want to trade on any new segment/new exchange, separate authorisation letter should be submitted to **Trdez Investment Private Limited**.

D. PAST ACTION		
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.		
Response:	<input type="checkbox"/> Yes	<input type="checkbox"/> No
If Yes, please specify details:		

E. DEALINGS THROUGH AUTHORISED PARTNER	
If yes, please specify details.	
1. Name of stockbroker	
2. Name of AP	
3. Name of Exchange	
4. Client Code (as given by other broker)	



10. Require Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both
11. Avail SMS Alert Facility on Mobile Number (Mandatory if you are giving Demat Debit & Pledge Instruction - DDPI)	<input type="checkbox"/> Yes <input type="checkbox"/> No
12. A. - Declaration for Mobile Number - Registered in the name of:	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parents
11. B. - Declaration for Email Id - Registered in the name of:	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parents
13. Avail TRUST Facility provided by CDSL for below clearing member: 1. Stock Exchange Name / ID: BSE, NSE and MSEI 2. Member Name: TRDEZ Investment Pvt Limited	<input type="checkbox"/> Yes <input type="checkbox"/> No

1. Communications shall be sent on the address, e-mail ID and mobile number provided for Sole/ First Holder.
2. BO can view its ISIN balances, transactions and portfolio value online through 'Easi' at [www.cdslindia.com](http://www.cdslindia.com).

H. FATCA / CRS DECLARATION / SELF CERTIFICATION			
Particulars	First/ Sole Holders	Second Holder (if any)	Third Holder (if any)
1. Are you a U.S. Person? (Refer note below)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Specify Country of Residence for Tax Purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> Others
3. Specify Country of Citizenship	<input type="checkbox"/> India <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> Others	<input type="checkbox"/> India <input type="checkbox"/> Others

**US Person means:**

In case of individuals, U.S. person means a citizen or resident of the United States. Persons who would qualify as U.S. persons could be born in United States, born outside the United States of a US parent, Naturalized citizen, Green Card Holders, tax residents.

**Note:** If you are U.S. Person and/ or if your tax residency/ nationally/ citizenship is other than India, then please provide declaration / self certification under FATCA/ CRS. This declaration form can be download from our website: [www.trdez.com](http://www.trdez.com).

**SELF DECLARATION FOR COMMODITYWISE CATEGORIZATION**

Are you a U.S. Person? (Refer note below)

Farmers / FPO     
  Value Chain Participants (VCPs)     
  DFII     
  FPs     
  Others

**Note:** Default categorization for commodities (other than those specifically listed) is in "Others" category.

**SELF DECLARATION FOR COMMODITYWISE CATEGORIZATION**

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. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my/our account liable for termination and suitable action.
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 and agree to be bound by the same and as are in force from time to time.
3. I/We further confirm having received, read and understood the contents of the 'Rights and Obligations' document(s) for trading and DP Services, 'Risk Disclosure Document' and Guidance Note/ Do's & Don'ts as prescribed by SEBI /Exchanges/ Depository. I/We do hereby agree to be bound by such provisions as outlined in these documents and as are in force from time to time. I/We have also been informed that the standard set of documents as updated from time to time is displayed for information on Stock Broker's designated website i.e. [www.trdez.com](http://www.trdez.com).
4. I/We hereby consent to receiving information from Central KYC Registry and other agencies through SMS/Email on registered number/email ID.

<b>First/ Sole Holder</b>	<b>Second Holder (if any)</b>	<b>Third Holder (if any)</b>
<i>Signature: SFH (7/22)</i>	<i>Signature: SSH (1/8)</i>	<i>Signature: STH (1/2)</i>
Date:	Date:	Date:
Place:	Place:	Place:

**NOMINEE DETAILS FOR DEMAT AND TRADING ACCOUNT**

<input type="checkbox"/> <b>I/We wish to make a nomination:</b>  I/We hereby nominate the following person(s) who shall receive all the assets held in my/ our account in the event of my/ our death:	<input type="checkbox"/> <b>I/We do not wish to appoint any nominee - Declaration for opting out of nomination:</b>  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
UCC:	Demat A/c No.

Nomination Details (upto 3 Nominees)	Details of Nominee 1	Details of Nominee 2	Details of Nominee 3
1. Name of the Nominee First Name:  Middle Name:  Last Name:			
2. Share of Each Nominee (Equally) (If not equally, specify percentage)	%	%	%
<i>Please note: Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>			
3. Relationship with the Applicant (if any)			
4. Nominee Address	City/Village/Town*:  District*:  Pin code*: _  State*:  Country*:	City/Village/Town*:  District*:  Pin code*: _  State*:  Country*:	City/Village/Town*:  District*:  Pin code*: _  State*:  Country*:
5. Mobile / Telephone No. of Nominee			
6. Email of Nominee			

<p>7. Nominee identification detail (Please tick any one of the following and provide details of the same)</p>	<input type="checkbox"/> Photo & Sign <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> Photo & Sign <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> Photo & Sign <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID
<p>Sr. No. 8 – 14 should be filled only if nominee(s) is a minor:</p>			
<p>8. Date of Birth of Nominee (Mandatory if Nominee is Minor)</p>			
<p>9. Name of Guardian (if Nominee is Minor) First Name:  Middle Name:  Last Name:</p>			
<p>10. Address of Guardian</p>	<p>City/Village/Town*:  District*:  Pin code*: _  State*:  Country*:</p>		
<p>11. Mobile / Telephone No. of Guardian</p>			
<p>12. Email of Guardian</p>			
<p>13. Relationship of Guardian with Nominee</p>			
<p>14. Guardian identification detail (Please tick any one of the following and provide details of the same)</p>	<input type="checkbox"/> Photo & Sign <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> Photo & Sign <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID	<input type="checkbox"/> Photo & Sign <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank A/c no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat A/c ID



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

Particulars	First / Sole Holder	Second Holder
Name		
Signature	SFH(8/22)	SSH(2/8)
Date		

Note: "Signature of witness, along with name and address are required if the account holder affixes thumb impression, instead of signature.

INTRODUCER DETAILS (Optional)	
1. Client Introduced by	<input type="checkbox"/> Another Client <input type="checkbox"/> AP/ Remisier <input type="checkbox"/> Employee <input type="checkbox"/> Any other person _____
2. Introducers Name	
3. Address	
4. Tel / Mobile	
5. Employee / Client / Introducer Code	
6. Introducers Sign (with stamp, if applicable)	
FOR OFFICE USE ONLY	
<p>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) including 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.</p>	
<i>Signatory of the Authorised Signatory</i>	<i>Seal / Stamp of the Stock Broker</i>

DP TARIFF SHEET				
Particulars	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
			BSDA Accounts# (Pls refer the footnotes mentioned below)	
Annual Maintenance Charge			<b>Security Type</b>	
			Debt	Upto Rs. 50000
				Rs. 1 Lac to Rs. 2 Lacs
			Non Debt	Upto Rs. 50,000
Rs. 50,001 to Rs. 2 Lacs				
Dematerialization			Rs. 50 per request + Rs. 3 per certificate	
Rejection of DRF			Rs. 30	
Rematerialization			A fee of Rs.10/- for every 100 securities or part thereof; subject to maximum fee of Rs.5,00,000/-or a Flat fee of Rs.10/- per certificate, whichever is higher payable on confirmation of the request. However, no fee shall be collected in case of Government Securities	
Rejection of RRF			Rs. 40	
Postage/ Courier			Rs. 100	
Charges for all related Additional DIS Booklet			NIL	
Market transactions per ISIN			Rs. 15 per credit transection	
Off Market transaction per ISIN			NA	
Margin Pledge/Pledge Creation / Closure / Invocation			Rs. 30 per ISIN	
Billing cycle	Daily	Daily	Daily	
<p>GST and other taxes would be extra on actual basis</p> <p>BSDA (Basic Services Demat Account)</p> <p>Individuals shall be eligible to opt for BSDA subject to the following conditions otherwise ..... scheme will be applicable.</p> <ol style="list-style-type: none"> <li>All the individuals who have or propose to have only one Demat Account where they are the sole or first holder.</li> <li>Individuals having any other Demat Accounts where they are not the first holder shall be eligible for BSDA in respect of the single Demat Account where they are sole or first holder.</li> <li>The individual shall have only one BSDA in his/her name across all depositories.</li> <li>Value of securities held in the Demat Account shall not exceed Rs. 2 Lakhs at any point of time.</li> </ol>				
<b>Signature</b>	SFH (9/22)/ SSH (3/8)			

TARIFF SHEET (MANDATORY)	
Brokerage, Charges, Fees applicable for your Investment, Trading and Demat account	
Charges related to Exchange Transactions	
Type of Trade / Transaction	Amount / Fees / Brokerage / Charges (GST extra)
Delivery (Equity/ ETF)	0.05% of Turnover or Min 5 Paisa
Intraday (Equity/ ETF)	0.05% of Turnover or Min 5 Paisa
Equity Futures	0.05% of Turnover or Min 5 Paisa
Equity Options	Rs.15 /per Lot
Currency Futures	NA
Currency Options	NA

Commodity Futures	0.05% of Turnover or Min 5 Paisa
Commodity Options	Rs.15 /Per Lot
Square Off by System/ TRDEZ	Nil
Call & Trade Service	Rs.40 per order placed through Dealer at TRDEZ
IPO Bid or Allotment	NA
Buyback/ OFS /Takeover	NA
Above charges do not include taxes. GST at applicable rates shall be applied separately.	
Payment Gateway	
Above charges do not include taxes. GST at applicable rates shall be applied separately.	

Above charges do not include taxes. GST at applicable rates shall be applied separately. Clients who opt to receive physical contract notes or his ECN Bounced, will be charged Rs. 100 per contract plus courier charges. A brokerage of 0.50% of the contract value will be charged for contracts where the client provides/takes physical delivery to/from exchanges. All physical settled contracts (Futures & Options) will also carry an applicable Exchange charge. Brokerage at applicable rates of 0.50% shall be charged on expired, exercised, and assigned Options contracts. TRDEZ Investment Pvt Ltd reserves the right to levy charges for services provided as deemed fit.

I/We shall be dealing through TRDEZ Investment Pvt Ltd as my/our broker for the Capital Markets in the opted Segment/s. We hereby accept the charges to be levied as stated in this document.

I/we authorize you to debit my/our account against the charges raised by you on account of Trading & Depository Services provided by you.

<b>Signature</b>	
	SFH (10/22)

**Schedule of Charges:**

1. Exchange transaction charges
2. Clearing charges
3. Securities Transaction Tax
4. Goods & Services Tax
5. SEBI Turnover fees
6. Stamp Duty: State-wise stamp duty as applicable will be levied

## POLICIES AND PROCEDURES

This document contains the policies and procedures of TRDEZ INVESTMENT PRIVATE LIMITED (TRDEZ / MEMBER) as are presently in force in relation to:

1. Refusal of orders for Penny/ illiquid Stock/ Contracts
2. Setting up of exposure limits
3. Squaring off of market positions, collaterals and other securities
4. Refusal of CLIENT requests for fresh positions
5. Applicable Brokerage Rate
6. Imposition of penalty/delayed payment charges
7. Market and internal shortages
8. Suspension of CLIENT's account and deregistering of the CLIENT
9. Inactive/ Dormant Account

The policies set out herein may be modified from time to time without prior notice in accordance with the rules, regulations and bye-laws of SEBI or the exchanges or other authorities or at the option of the MEMBER by way of notice of not less than 15 (fifteen) days to the CLIENT.

### 1. Refusal of orders for penny/ illiquid stocks/ Contract

- 1.1 The MEMBER shall from time to time classify certain securities as illiquid as per the list of illiquid securities notified on a periodic basis by the Exchanges concerned I SEBI and based on such other internal criteria as the MEMBER may deem fit. The MEMBER reserves the right to refuse acceptance of orders / execution of any transaction requests of the CLIENT on such illiquid securities. The MEMBER also reserves the right not to allow I limit any trades or transactions (irrespective of credit balance of funds in CLIENT's account) in certain securities due to various reasons including factors such as market liquidity, orders/requests which may be below/above certain value / quantity, the order being for securities which are not in the permitted category of the MEMBER and/ or based on such other internal criteria as the MEMBER may deem fit from time to time based on its risk perception. The CLIENT agrees that losses, if any, on account of such refusal or due to the delay caused in granting such limits / execution, shall be borne exclusively by the CLIENT alone.

### 2. Setting up of CLIENT'S exposure limits

- 2.1 The MEMBER shall be entitled to sanction trading limits to the CLIENT based on the margin lying to the credit of the CLIENT in the form of funds/ securities/ bank guarantees/ fixed deposit receipts. The MEMBER at its sole discretion may refuse to accept any security as collateral/ margin. In setting exposure limits for the CLIENT, the MEMBER shall be entitled to consider such factors as it may deem fit, including without limitation, market volatility, risk management policy of the MEMBER and such other factors or conditions which the MEMBER may consider relevant for the purpose. The MEMBER reserves liberty to vary the trading/ exposure limits of the CLIENT depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions and the MEMBER may be unable to inform the CLIENT of such variation, reduction, or imposition in advance. The CLIENT agrees that the MEMBER shall not be responsible for such variation, reduction, or imposition or the MEMBER's inability to route any order through the MEMBER's trading system on account of any such variation, reduction, or imposition of limits. The CLIENT further agrees that the MEMBER may at any time, at its sole discretion and without prior notice, prohibit or restrict the CLIENT's ability to place orders or trade in securities through the MEMBER or it may subject any order placed by the CLIENT to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by MEMBER/Stock Exchange/SEBI and any other reasons which the MEMBER may deem appropriate in the circumstances.
- 2.2 The CLIENT agrees that the losses, if any, direct or indirect, notional or otherwise, arising on account of such refusal or due to delay caused by such review or from any variation or reduction of limits or any other aspect of the risk management policy / system, shall be borne exclusively by the CLIENT alone.

### 3. MEMBER'S right to square-off CLIENT'S position / securities, without giving notice to CLIENT

- 3.1 CLIENT hereby confirms to make payments for its purchases and clear all debits before pay-in date and time as per schedule defined by the relevant Exchanges. The CLIENT is responsible for all orders executed in the CLIENT's account, including those orders that may have been executed without availability of the required funds or margin. If the CLIENT's account has any shortfall in the required funds or margin, the CLIENT shall, whether or not MEMBER intimates such shortfall, make good such shortfall, either through delivery of shares in the event of sale or credit the required funds in the bank account via wire or personal cheque or account transfer or demand draft or any other similar mode and shall promptly communicate such transfer to the MEMBER. In case where a payment by the CLIENT is made via cheque or any other such instrument/transaction issued in favor of the MEMBER, the MEMBER may at its discretion consider credit of such funds only upon clear realization of such funds into its account. In case the MEMBER does not receive clear funds before due date (i.e. pay-in date and time) the MEMBER will have all rights to sell / Liquidate Client's Positions and / or Securities without any further intimation to the CLIENT. The cost and consequences of such action shall be entirely borne by the CLIENT and shall be without any prejudice to MEMBER's rights to take any other action to recover the dues.

- 3.2 Square-off of CLIENT's positions and securities upon any shortfall in its account is a right of the MEMBER and not an obligation on the MEMBER. The CLIENT shall continue to be fully liable for all its trades, positions and obligations to the MEMBER whether or not such right to square-off is exercised by the MEMBER.
- 3.3 If payment securities towards the margin or shortfall in margin is not received instantaneously to enable restoration of sufficient margin in the CLIENT's account, all or some of the positions of the CLIENT as well as the securities placed as margin and / or available in client's demat account may be liquidated by the MEMBER at its sole discretion without further reference or prior notice to the CLIENT.
- 3.4 The MEMBER may at its sole discretion prescribe the payment of Margin in the form of cash instead of securities. The CLIENT agrees to comply with the MEMBER's requirement of payment of margin in the form of cash immediately, failing which, the MEMBER may sell the securities already placed with it as margin or square off all or some of the positions of the CLIENT as it deems fit in its discretion without further reference or prior notice to the CLIENT.
- 3.5 The resultant or associated losses that may occur due to such square off/ sale shall be borne by the CLIENT alone and the CLIENT agrees that the MEMBER is hereby fully indemnified and held harmless by the CLIENT in this behalf. Such liquidation / close out of positions will be applicable to any segment(s) in which the CLIENT does business with the MEMBER. In exercise of the MEMBER's right to sell securities under the agreement, the CLIENT agrees that the choice of specific securities/ segment(s) to be sold / squared-off shall be solely at the MEMBER's discretion.
- 3.6 Any reference in these terms to sale or transfer of securities by the MEMBER shall be deemed to include sale of the securities, which form part of the margin maintained by the CLIENT with the MEMBER as well as securities in CLIENT's demat account under power of attorney to the MEMBER. In exercise of the MEMBER's right to sell securities under the agreement, the CLIENT agrees that the choice of specific securities to be sold shall be solely at the discretion of the MEMBER.
- 3.7 The CLIENT accepts to mark all its transactions as Delivery/ Carry-forward or Intra-day/ Margin. Accordingly, the CLIENT agrees that all transactions which are not marked as Intention to take Delivery may be squared-off by the MEMBER irrespective of credit balance of funds/ availability of margin in CLIENT's account, before the close of market hours at such specific time as may be deemed appropriate by the MEMBER. The CLIENT accepts that the MEMBER is not under any obligation to square off such transactions. Further, the MEMBER is not required to give any prior intimation to or seek approval from the CLIENT before such square-off of transactions. The CLIENT agrees that loss, if any, incurred on account of such square-off of positions or inability to square-off such positions will be borne solely by the CLIENT itself.

#### **4. Refusal of CLIENT requests for trades/transactions**

##### **4.1 MEMBER is entitled in its sole discretion to:**

- restrict or refuse execution of any orders for transaction in any scrip if transaction in such scrip is not in accordance with its internal due diligence policy and/or the directives and guidelines of the Exchanges and/or the Regulator issued from time to time and the CLIENT shall not call in question any decision of MEMBER to restrict or refuse transactions in such scrips/ securities on the ground that transactions in such scrip are not in violation of the MEMBER's due diligence policy or the directives or guidelines of the Exchange and/or the Regulator or on the ground that the CLIENT has not been put on notice about the scrips/ securities on which trade restrictions have been imposed by the MEMBER;
- impose trade restrictions on any scrip/ securities having regard in particular to any one or more of the following factors viz. (i) market volatility, (ii) price sensitive announcements relating to any scrip, (iii) restrictions on trade volume imposed by the Exchange concerned, (iv) political instability in the country, (v) external aggression or internal rebellion, (vi) default by the CLIENT to maintain applicable collateral/margin or to make payment of dues or such other factors influencing the securities market;
- refuse to accept or act upon any request/order, which in MEMBER's sole opinion, amounts to manipulating trades or price manipulation or artificial trade(s) and/or fraudulent trade(s) or otherwise in breach of applicable laws and/or MEMBER's internal policies, without obligation to give the CLIENT its reasons for doing so;
- close out any transaction which may have been executed but which MEMBER was entitled to refuse to execute being contrary to its internal due diligence policies or by reason of any other factors including but not limited to trades being manipulative in nature;
- disallow any trades or transactions in respect of certain securities or segments which may be below/above certain value/quantity as may be decided by MEMBER from time to time;
- decline carrying out the instructions or refuse processing / transmitting the order of the CLIENT if MEMBER is uncertain of authenticity or is otherwise doubtful about the same for any reason.

- 4.2 MEMBER shall not be liable, if any instructions of the CLIENT are not carried out for any reason whatsoever and loss, if any, incurred on account of such refusal of CLIENT requests will be borne solely by the CLIENT itself.

#### **5. Applicable Brokerage Rate**

- 5.1 The MEMBER shall levy brokerage for the CLIENT's transactions as per the brokerage slabs mutually agreed with the CLIENT in the CLIENT Registration Form subject to the maximum rate prescribed by the Stock Exchanges/ SEBI. The CLIENT shall pay such fees, charges, and

commissions as may be notified by the MEMBER from time to time depending upon the services availed by the CLIENT. The MEMBER may require the CLIENT to pay an upfront / advance service fee for availing the services offered by the MEMBER and the CLIENT shall pay such fee as and when so required.

- 5.2 Subject to such maximum prescribed rates, the MEMBER may revise the rates from time to time after intimation to the CLIENT of the revised rates and the date from which the revised rates shall take effect. The MEMBER may intimate the revised rates either in writing addressed to the CLIENT or by publishing the rate on its back-office website or in the CLIENT's back-office login or a combination of any such means. The CLIENT shall be deemed to have agreed to the change in brokerage rates upon transactions being executed on and from such effective date.
- 5.3 The CLIENT further agrees to pay any applicable taxes including the securities transaction tax, CTT, GST, duties and levies as may be levied on the transaction from time to time, Exchange Transaction charges and other charges based on value traded or otherwise as may be levied by the relevant Exchanges or as determined by the MEMBER from time to time.
- 5.4 The applicable Stamp Duty payable on any instruments relating to any transaction including without limitation any stamp duty payable on Contract Notes issued pursuant to transaction executed shall be payable by the CLIENT. Without prejudice to the generality of the above clause, the CLIENT also agrees to pay any and all additional stamp duty payable if Contract Notes issued for any transaction executed are received by the CLIENT residing in any other state other than the state of Maharashtra.
- 5.5 The CLIENT shall pay all costs, charges, expenses, damages, losses, interests (including penal interests) and other outgoings incurred / determined or suffered by the MEMBER as a result of the CLIENT's default, including without limitation, due to dishonor of cheques. The CLIENT may be charged separately CLIENT may be charged separately for online trading application, advance subscription charges, SMS charges, research subscription charges, demat charges on transactions through the Broker Demat Account towards pay-in/ pay-out I pledge of securities to Broker Account or Exchange Account incurred directly or indirectly, for and behalf of the CLIENT.

## **6. Imposition of penalty/delayed payment charges**

- 6.1 CLIENT agrees and confirms that it will be liable to pay delayed payment charges / Interest for non-making of payment or short payment of their pay-in/margin/mark-to-market obligation as per the Exchange / MEMBER's requirement/ schedule, at the rate of 0.0657% per day or 2% per month or part thereof or such other rate as may be determined by the MEMBER. No interest shall be payable by the MEMBER on any credit balance in CLIENT's account. The CLIENT is aware and has agreed that the above interest on the debit balance shall be calculated on daily product basis and charged to the CLIENT's account at the end of each month/such other interval as may be decided by the MEMBER. The above interest shall become due and payable at the end of each month/such other interval decided by the MEMBER or on termination of this agreement as per the provisions herein, whichever is earlier.
- 6.2 Without prejudice to the MEMBER's other rights, the MEMBER shall be entitled to liquidate/ close-out all or any of the CLIENT's securities/ positions for non-payment of margin or other amounts, outstanding debts, etc, and adjust the proceeds of such liquidation/ close-out, if any, against the CLIENT's liabilities/ obligations. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the CLIENT.
- 6.3 The CLIENT agrees that the MEMBER may impose fines/ penalties for margin shortage I any order/ trades I deals/ actions of the CLIENT which are contrary to these agreement/rules/regulations/bye-laws of the Exchange or any other law for the time being in force at such rates and in such form as it may deem fit. Further where the MEMBER has to pay any fine/penalty/interest/charges in any form or bear any punishment from any authority in connection with/as a consequence of/ in relation to any of the orders / trades I deals / actions of the CLIENT, the same shall be additionally borne by the CLIENT.

## **7. Shortages arising out of Market and/or Internal Shortage**

- 7.1 MEMBER shall not be obliged to deliver any securities or pay any money to the CLIENT unless and until the same has been received by the MEMBER from the exchange, the clearing corporation/clearinghouse or other company or entity liable to make the payment and the CLIENT has fulfilled its obligations first.
- 7.2 If a seller CLIENT fails to deliver any one or more securities to the pool account of the MEMBER in respect of the securities sold by it which turns out to be an internal netting of trade, in such case, short delivering CLIENT is debited by an amount equivalent to 5% (or such other % as may be revised by the MEMBER from time to time) above the highest of the closing prices between the Trade (T) date and settlement date.
- 7.3 The CLIENT (buyer or seller) understands and acknowledges the same and undertakes that it shall not hold the MEMBER responsible for any loss or damages arising out of the same.

## **8. Suspension and deregistering of CLIENT's Account**

- 8.1 If the CLIENT apprehends that security of his account has been breached, the CLIENT shall in writing to the MEMBER, request suspension of transactions in the CLIENT's account and MEMBER may on receipt of such request suspend transactions in the account. The CLIENT shall ensure pay-in of funds and securities in respect of all transactions pending to be settled on or before the respective settlement date(s) and shall compulsorily square off all open derivative positions, failing which MEMBER without further reference to the CLIENT shall square off all open derivative positions prior to suspending the account. The account of the CLIENT shall, if suspended, remain so suspended until such

time as the CLIENT'S request in writing for reactivation of the account is not received by MEMBER. Provided always that MEMBER may, without prejudice to its other rights to effect recovery of its dues, sell all or any collateral and other securities of the CLIENT lying with it in the CLIENT's account towards full or part recovery of the dues owing by the CLIENT without prior notice or consent of the CLIENT.

8.2 MEMBER may at any time, as it considers necessary in its sole discretion and without prior notice to the CLIENT, prohibit, restrict or suspend the CLIENT's access to or use of the services provided to the CLIENT under this Agreement, whether in part or entirely.

8.3 MEMBER reserves the right to suspend or terminate this Agreement and deregister the CLIENT without prior notice in the event of:

- any breach of the terms of this agreement;
- in the event of infraction of any Rules, Bye-Laws, Regulations of SEBI or the Stock Exchange or of the provisions of any law for the time being in force governing dealings in the securities market without prior notice or on the directions of SEBI and/or the Exchanges;
- upon the death, winding up, bankruptcy, liquidation or
- lack of legal capacity of the CLIENT;
- the CLIENT being designated as a defaulter by any credit rating agency or any action or proceedings have been initiated by the relevant regulator/Authority including without limitation SEBI;
- bank account, demat account, securities account of the CLIENT being frozen or attached by any court of law or any other competent authority for whatever reason;
- the CLIENT having misrepresented facts at the time of entering into this Agreement or at the time of giving instructions or otherwise;
- any proceedings or investigations that involve the CLIENT;
- the CLIENT fails to fulfill its payment obligations under this Agreement or otherwise due to MEMBER or
- if the CLIENT migrates to a jurisdiction which prohibits trading in Indian Securities or otherwise subjects MEMBER or any of its employees to any licensing or registration requirements.

8.4 All rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to deregistration of the CLIENT shall continue to subsist and vest in /be binding on the respective parties or his/her/its respective heirs, executors, administrators, legal representatives or successors, as the case maybe.

#### **9 Inactive/Dormant Account**

9.1 Where no transaction is taken place in client's account during the last 12 months from the date of last transaction, then it will be considered as Inactive/Dormant Account.

9.2 The detailed Policy in this regard is available on the website of the MEMBER.

#### **CLIENT's acceptance of Policies and Procedures stated herein above:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses in this document under any circumstances whatsoever.

These Policies and Procedures may be amended / changed unilaterally by the MEMBER. I understand and agree that the prevailing policies and procedures of the MEMBER in respect of the above said matters shall remain published on its website [www.trdez.com](http://www.trdez.com) or such other website as may be notified to me/us from time to time and I/we agree that it is my/our responsibility to access, understand and abide by such policies at all times during the subsistence of this Agreement. I/We agree never to challenge such policies or amendments thereto on any grounds including delayed receipt or non-receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the Agreement and shall be compulsorily referred to while deciding any dispute/difference or claim between me/us and MEMBER before any court of law/judicial/adjudicating authority including arbitrator/mediator etc.

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Signature SFH (11/22)

CLIENT DECLARATION CUM UNDERTAKING FOR OPEN INTEREST IN COMMODITIES

I/We the undersigned, have taken cognizance of Exchange(s) circular on the guidelines for calculation of net open positions permitted in any commodity and I/We hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from to time by Exchange(s) or any regulator and such position limits will be calculated in accordance with the contents of circular of Exchange(s) as modified from time to time.

I/We undertake to inform you and keep you informed if I or 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/directors/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on Exchange(s) through you or through any other member(s) of Exchange(s) to enable you to restrict our position limit as prescribed by the circulars as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity forward contracts/commodity derivatives for me/us as your clients Exchange(s) only on the basis of our above assurances and undertaking. I/We conform that I/we shall be solely responsible and liable for any violation of the same

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Signature SFH(12/22)



### ELECTRONIC CONTRACT NOTE [ECN] – DECLARATION (VOLUNTARY)

I/We hereby undertake as follows:

- 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 myself/ourself want the same in the electronic form.
- I/we am aware that the Member has to provide electronic contract note for my convenience on my 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/our e-mail ID is/are as mentioned in the KYC document submitted by me/us. This e-mail ID 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 language known to me/us.
- I/we am/are aware that non-receipt of bounced mail notification by the Member shall amount to delivery of the contract note to me/us at the above e-mail ID.
- The above declaration and the guidelines on ECN given above have 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.

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Signature SFH (13/22)

### STANDING INSTRUCTIONS TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

I / We request you to maintain my/ our accounts for funds and securities on running accounts basis instead of 'bill to bill settlement basis across all segments and exchanges, unless I/ we specifically request you for a payout of available free funds or securities in the account. You may settle the accounts at Monthly/ Quarterly (strike off whichever is not applicable, else the option will be considered as Quarterly) or at such other intervals as SEBI / Exchanges may specify from time to time. I/ We further authorize you to retain securities and / or funds as may be permitted by Exchanges / SEBI from time to time or towards other unbilled services and / or charges applicable on my account, while settling the accounts. I/ We further authorize you to also retain funds/ securities as may be permitted by SEBI / Exchanges from time to time, while settling my/ our account. I/ We understand and agree that no interest will be payable on the amount of funds retained by you as above I/ We agree that Trdez shall not be liable for any claim for loss or loss of profit or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/ funds. The standing instruction / authorisation for maintaining my / our account as running account shall remain valid until revoked in writing, addressed to you.

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Signature SFH (14/22)

## VOLUNTARY TERMS AND CONDITIONS

### DOCUMENT INCORPORATING ADDITIONAL TERMS AND CONDITIONS FOR THE PURPOSE OF MUTUAL CONVENIENCE AND SMOOTH CONDUCT OF BUSINESS RELATIONS.

I/We, an individual/a partnership firm/a HUF/a body corporate or any other legal entity registered/ incorporated under the provisions of a relevant act, hereafter referred to as "CLIENT" which expression shall, unless it be repugnant to the meaning or context thereof, be deemed to mean and include my/our heirs, executors, administrators, permitted assigns, the partners of the firm and the survivors of them and the heirs, executors and administrators of the partners, successors in title, trustees of a Trust and their successors, member of the governing body and any new members elected appointed or co-opted as the case may be of a society, having residence/office given in Account Opening Form, as updated from time to time, agree to the following terms & conditions:

CLIENT is required to note that the below mentioned clauses are not mandatory as per the Exchange(s) (BSE / NSE / MCX). SEBI requirements but are binding on the CLIENT if they want to avail the services of TRDEZ (the MEMBER). The CLIENT may revoke any or all of the clauses of this document by communication in writing or by striking out the relevant clause and in such an event the MEMBER reserves a right to terminate some or all the services permitted to the CLIENT. CLIENT is further required to note that these Terms & Conditions are in addition to Rights and Obligations and other documents as prescribed by SEBI / Exchanges.

#### 1. Acting as a Authorised Person/ Remisier

- 1.1 The CLIENT agrees that it will not act as a Authorised Person/ remisier without prior written permission of the MEMBER and without obtaining the registration certificate from SEBI / Exchanges.

#### 2 Bank & Depository Accounts

- 2.1 To facilitate easy and timely transfer of funds, to and from the CLIENT, the CLIENT agrees that the MEMBER may require the CLIENT to open a savings/ current bank account with a bank specified by the MEMBER.
- 2.2 To facilitate easy and timely transfer of securities and to meet the margin requirements of the MEMBER, the CLIENT agrees to maintain its Beneficial Owner's account with the MEMBER, being Depository Participant with CDSL.

#### 3 Client not to act on representations of agents, employees

- 3.1 The CLIENT acknowledges that the MEMBER shall not be liable to provide him with any legal, tax, investment or accounting advice or advice regarding the suitability or profitability of a security or investment. CLIENT is aware that the MEMBER has not authorised any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the CLIENT or protection of investment whether in writing or otherwise on behalf of the MEMBER
- 3.2 The CLIENT also acknowledges that the MEMBER'S employees / representatives are not authorized to give any such advice and that the CLIENT will not solicit or rely upon any such advice from the MEMBER or any of its employees.
- 3.3 The CLIENT agrees that in the event of the MEMBER or any employee or official of the MEMBER providing any information, recommendation or advice to the CLIENT, the CLIENT may act upon the same at the sole risk and cost of the CLIENT and the MEMBER shall not be liable or responsible for the same.
- 3.4 The CLIENT assumes full responsibility with respect to its investment decisions and transactions.
- 3.5 The MEMBER, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the CLIENT.

#### 4. Purchase/ sale of shares/ securities

- 4.1 CLIENT will not sell any securities until it has confirmed clear balances of holding of the same in its Demat account. Further in case CLIENT buys securities in one Exchange and sells the same on another Exchange, or if CLIENT buys securities and sells back the same before having received them in its Demat account, CLIENT hereby confirms that it will be fully responsible in the event of any auctions happening of its sale obligation, due to the deliveries having been received short from the purchasing exchange and/or due to the operational/ procedural delays for inter- depository and inter settlement transactions and time taken by depositories to execute the same and/or for any other reason whatsoever. Also, all such consequences, actions penalties or any other financial loss or charges will be purely and entirely on CLIENT's account and MEMBER will in no way be responsible and/or liable for the same.

#### 5. Non-execution of orders/ Cancellation of trades

- 5.1 The CLIENT hereby agrees that the MEMBER or the Exchanges shall not be liable for non-execution of any order of the CLIENT caused due to suspension or interruption of trading, network congestions, software glitches, power or equipment failure, non-availability or malfunctioning of the online as well as offline trading services or the exchange system or services for any reasons whatsoever. Bids or offers may be executed in full or in part or may not be executed at all.

5.2 At such times, the MEMBER may not be able to execute the desired transactions (either the CLIENT's own transactions or transactions for enforcing margins as provided in this agreement) on a timely basis. The MEMBER does not accept responsibility for any losses that the CLIENT may incur on such eventualities and the MEMBER will not be held responsible for any loss to CLIENT from executed / unexecuted orders or trades due to technical failure / Exchange logout/natural calamities or any other reason, which may or may not be beyond the control of the MEMBER.

5.3 Trade orders requested by the CLIENT off line in dial and trade mode shall be acted upon by the MEMBER on best effort basis so however that the MEMBER shall not be liable for non-execution of any such orders for any reason whatsoever.

## 6. CLIENT KYC

6.1 A copy of this agreement, KYC form and other documents are being provided to the CLIENT at the time of execution of this agreement and the CLIENT acknowledges receipt of the same. The CLIENT may make a written request for additional copy upon payment of cost.

6.2 Where CLIENT avails these services, CLIENT confirms to have received, read and understood the Terms and Conditions as prescribed and issued by the MEMBER for using Mutual Fund Transaction facility on Exchanges, CDSL's SMS Alert facility and Transaction Using Secured Texting (TRUST) service and CLIENT agrees to be bound by such provisions as outlined in these documents and as may be in force from time to time.

## 7. Payout of securities/funds

7.1 In order to facilitate operations, the CLIENT may authorize the MEMBER to maintain a running account with the MEMBER, instead of settlement to settlement clearance of funds/securities due to CLIENT. The payout of funds/securities may be retained by the MEMBER in the running account and no interest shall be payable by the MEMBER on such securities/funds so retained. The CLIENT authorizes the MEMBER to transfer the securities so retained by the MEMBER in any settlement or inter-settlement towards the pay-in obligation of the CLIENT against future sale. The CLIENT also authorizes the MEMBER, to consider at its sole discretion, the funds/ securities so retained by the MEMBER towards collateral margin and for allowing enhanced gross exposure to the CLIENT in all segments/Exchanges in which the CLIENT has registered itself with the MEMBER. The CLIENT agrees that the MEMBER shall not be liable for a n y claim for loss or for profit, or for any consequential, incidental, special or exemplary damages, or otherwise, caused by retention of such securities/funds under this agreement. On written request of the CLIENT, the MEMBER may release funds/ securities to it, if sufficient margins in respect of its trading, across the Exchange(s) and across the segments of the Exchange(s) are available with the MEMBER. The CLIENT also agrees that the MEMBER may retain and/or sell securities or adjust funds to the extent of debit balance in the account of the CLIENT in any of the segments of any Stock Exchange(s) and release the balance securities / fund remaining after such retention/ sale/adjustment.

## 8. Authorisation for inter-segment fund balance transfer and stock transfer

8.1 The CLIENT hereby authorises MEMBER to maintain books of accounts on combined ledger principle i.e. to say collectively for all segment of all exchanges and any other segment or service for which the CLIENT has an arrangement to deal through/ with MEMBER. However, MEMBER shall be within its right to demand sums due separately for any specific segment and / or exchange if it so deems fit in its absolute discretion. It shall be the sole responsibility of the CLIENT to ascertain the balance of securities &/or funds in all the accounts separately and the CLIENT shall be required to pay/make available necessary monies/funds and/or securities into any one or more such segregated/aggregated account(s) notwithstanding the fact than an aggregation of the accounts may not require from the CLIENT either any securities and /or monies/funds and the CLIENT hereby agrees not to hold MEMBER responsible for considering shortage of margin/security&/or shortage of pay in obligations in any account, without aggregating/summing such account with other accounts.

## 9. Payment through cheque

9.1 In case of shares purchased being sold the next day or later on the same exchange or any other exchange it is hereby confirmed that CLIENT will make the payments first and then receive the payments on payout of the sale transactions. In case where the payment by the CLIENT towards the margin is made through a cheque issued in favor of the MEMBER, any trade(s) will be executed by the MEMBER only upon the realisation of the funds of the said cheque or at the discretion of the MEMBER. The CLIENT agrees that it will not make any third party payment from any account (Other than what is specified in the client account opening form).

## 10. Mark to market margin in Derivatives

10.1 The CLIENT agrees to pay an upfront margin that will be sufficient to cover the daily margins. If at any time, the cumulative Margin Including Mark to Market margin (MTM) in the CLIENT's account falls short of the margin required in the CLIENT's account, the CLIENT agrees to heed to the MEMBER's additional margin calls. The CLIENT will ensure that margins are adequate at all times and will immediately make good any shortfall.

## 11. Margin in form of securities

11.1 The CLIENT may place margin with the MEMBER in the form of securities as approved by the MEMBER. Such securities may, at the discretion of the MEMBER, be marked as lien in favor of the MEMBER from the depository account of the CLIENT or such securities may be placed in a separate depository account of the MEMBER earmarked as margin from the CLIENT.

11.2 The CLIENT agrees and authorises the MEMBER to determine the market value of the securities placed as margin after applying a haircut that the MEMBER deems appropriate. The CLIENT's positions are valued at the latest market price available (marked to market) on a continuous basis by the MEMBER. The CLIENT undertakes to monitor the adequacy of the collateral and the market value of such securities

on a continuous basis. If due to price fluctuations, there is erosion in the value of the margins, the CLIENT agrees to replenish any shortfall in the value of the margins immediately, whether or not the MEMBER intimates such shortfall.

**12. Margin with Exchange/ Clearing Corporation / Clearing Member.**

12.1 CLIENT agrees that the MEMBER shall be entitled to further pledge and/or deposit shares, stocks (securities) of the CLIENT which may be available to the MEMBER inter alia on account of the same having been provided by CLIENT as collateral margin. Such pledge/deposit may be made by the MEMBER from time to time with any stock exchange; commodity exchange; clearing corporation, clearing member, clearing house in its absolute discretion.

**13. Order /Trade slips/ Contract notes**

13.1 The MEMBER may accept verbal trade instructions from the CLIENT including instructions for modification or cancellation of trade orders entered in the trading system. The MEMBER may at its discretion require the CLIENT to provide the above instructions in writing. The CLIENT agrees that the MEMBER will not provide any order confirmation / modification / cancellation slips or trade confirmation slips or copies thereof as these will only increase paperwork. The CLIENT accepts that contract notes will suffice its documentary requirements.

13.2 Contract notes and other documents sent to CLIENT or its representative will be deemed to have been directly received and accepted by CLIENT himself and CLIENT takes full responsibility for the contents of the same unless otherwise intimated by CLIENT within 48 hours of issue of such contract notes / documents by MEMBER. Further CLIENT also authorises MEMBER to send contract notes/bills/account statements, etc. through courier/ordinary post. In such case the proof of dispatch of the same will be treated as confirmation of receipt by the client of such contract documents.

**14. Indemnification**

14.1 The CLIENT shall indemnify and keep indemnified the MEMBER harmless from and against claims, demands, actions, proceedings, loss, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the MEMBER directly or indirectly, owing to bad delivery/fake/forged/ stolen shares/securities/transfer document that are or may be introduced by or through the CLIENT during the course of its dealings/operations on the Exchange. The CLIENT shall not, while acting alone or in concert with others, directly or indirectly, hold or control excess number of permitted securities/contracts as fixed from time to time by the Exchange/SEBI without complying with the necessary guidelines. The CLIENT indemnifies the MEMBER against all liabilities arising from violation of such guidelines.

**15. DP charges and exchange of information**

15.1 CLIENT agrees that whatever charges that may be charged/ debited by DP services towards its demat account can be debited / charged in CLIENT'S running trading account maintained with the MEMBER. Further CLIENT agrees and authorizes the MEMBER to inter exchange the CLIENT'S information as well as share such information with institution as deemed necessary for smooth conduct of the business.

**16. Other expenses and charges**

16.1 CLIENT further authorizes the MEMBER to directly debit its account with any charges incurred or defined by MEMBER including but not limited to depository or bank charges, SMS charges, client registration charges, courier charges, penalties and fines, delayed payment interest etc. including those incidental to the margin accounts maintained by CLIENT, legal expenses incurred by the MEMBER for collecting unpaid dues of the CLIENT, account maintenance charges where brokerage generated falls below the minimum prescribed from time to time.

**17. Trade and/ or other SMS /Electronic Notification**

17.1 The CLIENT hereby agrees to accept its trade summary/confirmation or other communication including research/trading call via SMS / Electronic Notification on its mobile number. Further the CLIENT agrees to pay for the SMS service and authorise the MEMBER to debit the charges decided by the MEMBER from time to time.

**18. Tape recording of conversation**

18.1 The CLIENT is aware that the MEMBER may tape-record the conversations between the CLIENT and the MEMBER, either in person or over the telephone, and hereby specifically permits the MEMBER to do so. The MEMBER may rely upon such recordings as and when required to resolve any dispute with/ related to the CLIENT.

**19. Electronic transmission of information & documents**

19.1 The CLIENT agrees that MEMBER may transmit to the CLIENT any statements or documents including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls and other notices / communications in electronic mode either at the e-mail ID or to the mobile number of the CLIENT or both and, by so transmitting, MEMBER shall be deemed to have fulfilled its obligation to deliver to the CLIENT such documents.

**20. Use of Market Data/ Information on the Website**

20.1 The CLIENT understands that each participating Exchange, association, agency and the MEMBER asserts proprietary interests in the market data, research work and other materials displayed on the website of the MEMBER and that the CLIENT is authorized to use the said materials for the CLIENT'S own needs and uses only in accordance with the terms and conditions specified for such usage. CLIENT is not authorized to, and shall not, sell or provide access to or make copies of any such materials or permit their use by any other persons in any manner. CLIENT will not delete copyright or other intellectual property rights notices from printouts of electronically accessed materials. CLIENT understands

that the Exchange does not guarantee the timeliness, sequence, accuracy or completeness of market data or any other market information, or any messages disseminated by it. Neither the MEMBER nor the Exchange shall be liable in any way for incorrect, misleading, incomplete or dated data or information and, if the CLIENT acts on the basis of the same, it shall do so at its own risk and cost.

20.2 The CLIENT shall not furnish market information provided by the Exchange to any other person or entity for consideration or otherwise and in the event the CLIENT does so, it does so at its own risk and cost.

## 21. Electronic Payment Gateway for Net Banking Services

21.1 The MEMBER may provide on its internet trading website, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from CLIENT's bank account to the account of the MEMBER (for further credit to CLIENT's account with the MEMBER). CLIENT understands that the MEMBER is only providing access to the electronic fund transfer facility provided by the banker of the CLIENT through the MEMBER's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereabout. CLIENT undertakes not to make the MEMBER a party to any litigation, claim, dispute, difference or complaint that the CLIENT may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that the MEMBER's liability shall at all times be limited to the amount actually received in its account by electronic transfer from CLIENT's account with the Bank

21.2 The instructions issued by an authorized representative of the CLIENT shall be binding on the CLIENT in accordance with the letter authorizing the said representative to deal on behalf of the CLIENT.

21.3 In the event of death or insolvency of the CLIENT or its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the CLIENT has ordered to be bought or sold, MEMBER may close out the transaction of the CLIENT and the CLIENT or its legal representative shall be liable for any losses, costs or claims that may so arise.

21.4 The CLIENT agrees that the MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT / MEMBERS / Exchange end.

21.5 The Exchange may cancel a trade suo-moto without giving any reason thereof. In the event of such cancellation, MEMBER shall be entitled to cancel relative contract(s) with CLIENT.

## 23. Transactions and Settlements

23.1 All orders for purchase, sale or other dealings in securities and other instructions routed through the MEMBER's Internet Trading System via the CLIENT's Username shall be deemed to have been given by the CLIENT.

23.2 The orders and instructions and all contracts and transactions entered into pursuant thereto and the settlement thereof will be in accordance with the Exchange Provisions.

23.3 The MEMBER may from time to time impose and vary limits on the orders which the CLIENT can place through the MEMBER's Internet Trading System (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed, the companies in respect of whose securities orders can be placed, etc.). The CLIENT is aware and agrees that the MEMBER may need to vary or reduce the limits or impose new limits urgently on the basis of the MEMBER's risk perception and other factors considered relevant by the MEMBER, and the MEMBER may be unable to inform the CLIENT of such variation, reduction or imposition in advance. The CLIENT agrees that the MEMBER shall not be responsible for such variation, reduction or imposition or the CLIENT'S inability to route any order through the MEMBER's Internet Trading System on account of any such variation, reduction or imposition of limits. The CLIENT understands and agrees that the MEMBER may at any time, at its sole discretion and without prior notice, prohibit or restrict the CLIENT's ability to place orders or trade in securities through the MEMBER.

23.4 Though orders will generally be routed to the Exchange's computer systems within a few seconds from the time the order is placed by the CLIENT on the MEMBER's Internet Trading System, the MEMBER shall not be liable for any delay in the execution of any order or for any resultant loss on account of the delay.

23.5 The CLIENT agrees that the MEMBER may, at its sole discretion, subject any order placed by a CLIENT to manual review and entry, which may cause delays in the processing of the CLIENT'S order or may result in rejection of such order.

23.6 In case of a market order, the CLIENT agrees that it will receive the price at which its order is executed by the Exchange's computer system; and such price may be different from the price at which the security is trading when its order is entered into the MEMBER's Trading System.

## 24. Margin

24.1 The CLIENT agrees and undertakes to immediately deposit with the MEMBER such cash, securities or other acceptable security, which the MEMBER may require as margin. The CLIENT agrees that the MEMBER shall be entitled to require the CLIENT to deposit with the MEMBER a higher margin than that prescribed by the Exchange. The MEMBER shall also be entitled to require the CLIENT to keep permanently with the MEMBER a margin of a value specified by the MEMBER so long as the CLIENT desires to avail of the MEMBER's Trading/Internet Trading service.

25. **Trade Obligations:** The CLIENT shall accept all trades executed, resulting from the orders placed with the MEMBER, irrespective of the fact that the order is executed partially or in full, on the Exchange.

- a. In the event of non-confirmation of custodial trades by PCM for any reason whatsoever, all exchange - levied margins, MTM losses (on open position), may be borne by the MEMBER for the unconfirmed trades. In such case, the CLIENT shall pay to the MEMBER all margins levied by the Exchange on the unconfirmed trades. In addition to the above the MEMBER shall have an option to call for collateral from the CLIENT, to meet the subsequent daily margin obligation / MTM losses on the unconfirmed trades. the CLIENT shall be obliged to pay the

daily margin, MTM on the immediate succeeding business day, of the day when the MEMBER raises such margin requirement. The MEMBER shall not permit the CLIENT to create any new open positions, unit receipt of such additional margin requirement.

## **26. Cancellation Requests**

- 26.1 When the CLIENT places a request to cancel an order, the cancellation of that order is not guaranteed. The order will only be cancelled if the CLIENT's request for cancellation is received and the order is successfully cancelled before it is executed.
- 26.2 The CLIENT shall not be entitled to presume an order as having been executed or cancelled until confirmation from the MEMBER is received by the CLIENT.

## **27. Confirmations**

- 27.1 Online confirmation will be available to the CLIENT upon execution or cancellation of an order placed by him or by the MEMBER on its behalf through the MEMBER's Internet Trading System. This shall be followed by a confirmation, which may be sent by postal mail, electronic mail or other means. It is the responsibility of the CLIENT to review upon first receipt, whether delivered to him online, by postal mail, by electronic mail, or other means, all confirmations of transactions or cancellations.

## **28. Notice**

- 28.1 All notices or communications issued by the MEMBER shall be served on the CLIENT in any one or more or all of the following ways at the ordinary business address and / or ordinary place of residence and/ or last known address of the CLIENT:  
(a) by ordinary post/ courier; (b) by registered post; (c) under certificate of posting; (d) by express delivery post; (e) by telegram; (f) by affixing it on the door at the last known business / residential address; (g) by oral communication to the CLIENT on the last known telephone number, mobile number or on the recording machine of such number or by way of a short message (SMS) or electronic notification sent to such number; (h) by advertising it in at least one prominent daily newspaper having circulation in the area where the last known business / residential address of the CLIENT is situated; (i) by sending a message through the trading system; (j) by publishing it in the CLIENT's log-in page on the back-office website of the MEMBER (k) by a notice posted on the notice board of the Exchange if no address is known;(l) by electronic mail or fax;(m) by hand delivery.
- 28.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between the MEMBER and the CLIENT may be made orally.
- 28.3 Deemed Service: Any communication sent by the MEMBER to the CLIENT shall be deemed to have been delivered or served, even if such communication is returned to the MEMBER as unclaimed/ refused/undelivered, if the same is sent to the ordinary business address and/ or ordinary place of residence and / or last known address of the party, in any one or more of the ways mentioned above. The CLIENT shall always be deemed to have notice of all communication posted/published in the log-in page of the back-office website of the MEMBER and it shall be responsibility of the CLIENT to access the website of the MEMBER regularly for all such communication.

## **29. Extraordinary Events**

- 29.1 The MEMBER shall not be responsible for any losses, costs or damages resulting directly or indirectly from any action, omission, decision or ruling of any exchange / regulator / government / other body/any other person, suspension of trading OR any war/strike / lockout/natural disaster/act of terrorism/delay in postal services/any other delay/inaccuracy in the transmission of orders/other information, power failure, software malfunction or any breakdown / failure / malfunctioning of any telecommunication or computer system / hardware or any other conditions within or beyond the MEMBER's control.
- 29.2 The above extraordinary events do NOT exempt the CLIENT to fulfil the obligations in its account with the MEMBER.

## **30. Statutory Rules and Regulations**

- 30.1 The MEMBER is under no obligation to inform the CLIENT of changes in these rules, regulations, guidelines or circulars.

## **31. Amendment to Terms & Conditions**

- 31.1 The CLIENT understands and agrees that the MEMBER may discontinue its Internet Trading Service or any other service/product in part or in its entirety and change the terms of the Service at any time and from time to time, without prior notice.
- 31.2 The MEMBER may from time to time amend this agreement for complying with any change in its corporate policies. The MEMBER shall intimate the same to the CLIENT. In case the CLIENT continues to deal with the MEMBER subsequent to the intimation of such amendments it shall be deemed that the CLIENT is agreeable to the new clauses. However, the CLIENT has the right to terminate the agreement through communication in writing subject to meeting its financial and other obligations.

## **32. Severability**

- 32.1 In the event of any of the terms & conditions being held to be or becoming invalid, unenforceable or illegal for any reason, the terms & conditions shall remain otherwise in full force apart from the said provision which will be deemed deleted. The parties shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible and as per prevalent rules and regulations.

**33. Waiver**

33.1 No forbearance, relaxation or inaction by any party at any time to require the performance of any provision of the terms & conditions shall in any way affect, diminish, or prejudice the right of such party to require the performance of that or any other provision of the terms & conditions or be considered to be a waiver of any right, unless specifically agreed in writing.

**34. Dispute Resolution**

34.1 Any claim, dispute, difference arising between the Parties hereto in respect of the terms & conditions or any contract, trades, dealings, or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in the terms & conditions or the interpretation or construction of the terms & conditions shall be subject to the grievance redressal procedure of the concerned Exchange and shall be subject to the arbitration procedure as prescribed by the Rules, Bye- laws, Regulations of the Exchange and issued there under from time to time.

34.2 The Member and the CLIENT are aware of the provisions of Byelaws, Rules and regulations of the Exchange relating to resolution of disputes/differences through the mechanism of arbitration provided by the Exchange and agree to abide by the said provisions.

**35. Law and Jurisdiction**

35.1 This Agreement and all contracts and transactions between the MEMBER and the CLIENT pursuant hereto shall be subject to the Exchange Provisions, the Rules, Bye-Laws, Regulations, and other provisions of its clearing house, if any, the provisions of the Securities and Exchange Board of India Act, 2092, the Securities Contracts (Regulation) Act of 2056 and the rules and regulations made there under and as amended from time to time.

35.2 The terms & conditions shall be governed by and construed in all respects in accordance with the laws of the Republic of India and, the courts at Mumbai, India shall have exclusive jurisdiction. I/We hereby confirm to have read and understood the terms and conditions as mentioned above and agree to abide by the same.

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Signature SFH (15/22)

## Demat Debit and Pledge Instruction (DDPI)

**To,**

TRDEZ INVESTMENT PRIVATE LIMITED  
 OFFICE-301, 3<sup>rd</sup> FLOOR CELLO PLATINA,  
 LALIT MAHAL CHAUWK, FC ROAD,  
 PUNE-411041  
**T: 020-46706281**

Dear Sir/Madam,

I/We am/are executing the Demat Debit and Pledge Instruction in favor of TRDEZ INVESTMENT PRIVATE LIMITED (hereinafter referred to as "Trdez"), authorizing them to operate aforesaid beneficiary Account for the below mentioned specific purpose. List of demat accounts of Trdez is provided below as Annexure – A wherein the securities from my/our account can be transferred/pledged/margin pledge towards my/our pay-in/margin obligations, if any.

Particulars	Signature of First/ Sole Holders
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	SFH(16/22)/ SSH(4/8)
Pledging / re-pledging of securities in favor 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	SFH(17/22)/ SSH(5/8)
Mutual fund transactions being executed on stock exchange order entry platforms	SFH(18/22)/ SSH(6/8)
Tendering shares in open offers through stock exchange platforms	SFH(19/22)/ SSH(7/8)

**Note:** This authorization will remain valid until revoked in writing by you (pursuant to SEBI Circular No. SEBI/HO/MIRSD/DoP/P/CIR/2022/44 dated April 04, 2022)

**Note:** Demat Debit and Pledge Instruction Document shall be effective from 1<sup>st</sup> September 2022 or from the date as prescribed in SEBI Circular No. SEBI/HO/MIRSD/DoP/P/CIR/2022/91 and SEBI/HO/MIRSD/MIRSD-PoD-1/P/CIR/2022/137 dated 30<sup>th</sup> June 2022 and 6<sup>th</sup> October 2022 respectively.



**Annexure A – List of Demat Account of TRDEZ INVESTMENT PRIVATE LIMITED**

Sr. No.	Demat Account No.	Purpose
1	IN30133022407419	NSDL-Pool Account
2	1601010000576863	CDSL-Pool Account
3	1100001000024911	CDSL-Early-Pay-In
4	1601010000576882	CDSL-TM/CM Securities Margin Pledge A/c
5	IN30133041418575	NDSL-TM/CM Securities Margin Pledge A/c
6	1601010000576897	CDSL-TM / CM CUSPA Account
7	IN30133041418542	NDSL-TM / CM CUSPA Account

**Annexure B – List of Bank Accounts of TRDEZ INVESTMENT PRIVATE LIMITED**

Sr. No.	Bank Account No.	Bank	IFSC	Branch
1	923020046040556	Axis Bank	UTIB0000004	Fort, Mumbai

## Declaration for Confirmation of Signature

From,

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

To,  
TRDEZ Investment Private Limited,  
OFFICE-301, 3ed FLOOR CELLO PLATINA, LALIT MAHAL CHAUWK, FC ROAD,  
PUNE-411041

Subject: Declaration for Confirmation of Signature

Sir/Madam,

This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards TRDEZ Investment Private Limited or any of its group entities, are done solely by me with complete knowledge of all such terms and clauses contained therein.

I/We, the undersigned, would like to request TRDEZ Investment Private Limited or any of its group entities to accept the signed account opening forms and documents, even in case there may be slight variations on a few pages/areas of the document.

I/We, the undersigned, further would like to represent and warrant that in case of any misrepresentation with respect to the signatures placed on the account opening forms or all such documents towards TRDEZ Investment Private Limited or any of its group entities by me/us, I/We will indemnify TRDEZ Investment Private Limited and its directors/employees/agents for all such actions.

Yours faithfully,

Signature:

SFH (20/22)

\_\_\_\_\_

Name:

\_\_\_\_\_

## Most Important Terms and Conditions (MITC)

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, net worth, 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.

---

Signature: SFH (21/22)

**ACKNOWLEDGEMENT LETTER**

To,

**TRDEZ Investment Pvt Ltd**

**Office No 301, Cello Platina,**

**LALIT MAHAL CHAUWK**

**FC Road, Shivajinagar, Pune -411005**

**Sir/Madam,**

I/We hereby acknowledge receipt of the following documents:

1. Rights and Obligations of Stock brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009.
5. The TRDEZ Investment Pvt Ltd Tariff sheet.
6. General Terms and Conditions governing securities trading and broking services of TRDEZ Investment Pvt Ltd.
7. All other mandatory and voluntary client registration documents.
8. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us.

Disclaimer: - For the aforesaid documents visit [trdez.com](http://trdez.com) in downloads section or please refer to this [link](#).

Further I confirmed that the documents for KYC submitted by me are true and correct. I/We understand that the Voluntary documents executed by me/us are out of my/our own free will. I state that I have read and understood all the above documents and these documents are binding upon me.

Your Faithfully,

First Holder	Second Holder	Third Holder
SFH (22/22)	SSH (8/8)	STH (2/2)

Date:

**Know Your Client (KYC)**  
**Application Form (For Individuals Only)**



**CDSL VENTURES LIMITED**  
.... Exploring New Horizons



Please fill the form in ENGLISH and in BLOCK

letters Fields marked \* are mandatory

Fields marked + are pertaining to CKYC and mandatory only if processing CKYC also

Application Number: \_\_\_\_\_

Application Type\*:  New KYC  Modification KYC

**KYC Mode\*:** Please Tick (✓)

Normal  EKYC OTP  EKYC Biometric  Online KYC  Offline EKYC  Digilocker

**1. Identity Details** (please refer guidelines overleaf)

PAN\* \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card

Name\* (same as ID proof) \_\_\_\_\_

Maiden Name+ (if any) \_\_\_\_\_

Fathers/Spouse's Name\* \_\_\_\_\_

Date of Birth\* \_\_\_\_\_

Gender\*  Male  Female  Transgender

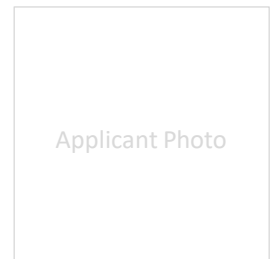
Marital Status\*  Single  Married

Nationality\*  Indian  Other \_\_\_\_\_

Residential Status\*  Resident Individual  Non Resident Indian

Please Tick (✓)  Foreign National  Person of Indian Origin

(Passport mandatory for NRIs, PIOs and Foreign Nationals)



Proof of Identity (POI) submitted for PAN exempted cases (Please tick)

A — Aadhaar Card XXXX XXXX \_\_\_\_\_

B — Passport Number \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

C — Voter ID Card \_\_\_\_\_

D — Driving License \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

E — NREGA Job Card \_\_\_\_\_

F — NPR \_\_\_\_\_

Z — Others \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**2. Address Details\*** (please refer guidelines overleaf)

**A. Correspondence/ Local Address\***

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

Address Type\*  Residential/Business  Residential  Business  Registered Office  Unspecified

Applicant e-SIGN

**B. Permanent residence address of applicant, if different from above A / Overseas Address\* (Mandatory for NRI Applicant)**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_

City/  
Town/Village\* \_\_\_\_\_ District\* \_\_\_\_\_ Pin Code\* \_\_\_\_\_

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

**Proof of Address\*** (attested copy of any one POA to be submitted)

A — Aadhaar Card      XXXX XXXX \_\_\_\_\_

B — Passport Number      \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

C — Voter ID Card      \_\_\_\_\_

D — Driving License      \_\_\_\_\_ (Expiry Date) \_\_\_\_\_

E — NREGA Job Card      \_\_\_\_\_

F — NPR Letter      \_\_\_\_\_

Z — Others      \_\_\_\_\_ (any document notified by Central Government)

Identification Number \_\_\_\_\_

**3. Contact Details**

Email ID \_\_\_\_\_

Mobile No. + \_\_\_\_\_ - \_\_\_\_\_

Tel (off) \_\_\_\_\_ Tel (Res) \_\_\_\_\_

**4. Applicant Declaration**

I hereby declare that the details furnished above are true and correct to the best of my/our 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/We are aware that I/We may be held liable for it.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

DATE: \_\_\_\_\_ (DD-MM-YYYY)

PLACE: \_\_\_\_\_

Applicant e-SIGN

Applicant Wet Signature

**5. For Office Use Only**

In-Person Verification (IPV) carried out by*	Intermediary Details*
IPV Date _____ Emp. Name _____ Emp. Code _____ Emp. Designation _____	<input type="checkbox"/> Self certified document copies received (OVD) <input type="checkbox"/> True Copies of documents received (Attested) AMC / Intermediary Name : _____
Employee Signature and Stamp	Institution Name and Stamp

**A. General Instructions:**

1. Self-attestation of documents is mandatory.
2. Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 below list 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 addresses 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/PIOCard/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in 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., Head of State or of Government, senior politician, senior government/judiciary/military officer, senior executive of state owned corporation, important political party official, etc.

**B. Proof of Identity (POI):**

1. PAN card with photograph is mandatory for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card
3. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
4. Mention identification / reference number if 'Z – Others (any document notified by the central government)' is ticked.
5. Others – Identity card with applicant's photograph issued by any of the following: Central/ State Government 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):**

1. PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
2. Others includes – Utility bill which is not more than 3 months old of any service provider (electricity, landline telephone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India
3. Identity card with applicant's photograph and address issued by any of the following: Central/ State Government 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.
4. Self declaration of High courts/Supreme court judges, giving the new address in respect of their own accounts.
5. For FII/Sub account, Power of attorney given by FII/Sub account to the custodians (which are duly notarized and/or apostilled or consularized) that gives registered address should be taken.
6. Proof of address in name of spouse may be accepted.
7. Registered lease or Sale agreement/ Flat maintenance bill / Insurance copy / Ration card / Latest Property tax
8. Original Verified Documents (OVD) are acceptable: Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving License / Letter issued by NPR / NREGA job card

#### D. Exemptions/Clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected)

1. Investments (including SIPs), in Mutual Fund schemes up to INR 50,000/- per investor per year per Mutual Fund.
2. Transactions undertaken on behalf of Central/State Government, by officials appointed by Courts, e.g., Official liquidator, Court receiver, etc.
3. Investors residing in the state of Sikkim.
4. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
5. In case of institutional clients, namely FIIs, MFs, VCFs, FVCI, Scheduled commercial bank, Multilateral and Bilateral development financial institutions, State Industrial development corporations, insurance companies registered with IRDA and public financial institutions as defined under section 4A of the Company Act 1956, custodians shall verify the PAN card details with the original PANs and provide duly certified copies of such verified PAN details to the intermediary.

#### E. List of people authorized to attest the documents:

1. Authorized officials of Asset Management Companies (AMCs).
2. Authorized officials of Registrar & Transfer Agent (RTA) acting on behalf of the AMC.
3. KYC compliant mutual fund distributors affiliated to Association of Mutual Funds (AMFI) and have undergone the process of 'Know Your Distributor (KYD)'.
4. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
5. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/ Consulate General in the country where the client resides are permitted to attest the documents.

#### F. Online Mode Processing of KYC:

##### 1. EKYC BIOMETRIC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI Biometric details.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

##### 2. EKYC OPT

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Applicant details are verified using UIDAI details using OTP.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.

##### 3. ONLINE KYC

- Applicant may directly upload their documents (OVD) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Virtual In Person Verification (VIPV) is mandatory as per SEBI guidelines.
- Intermediary attestation on documents (OSV) is exempted.

##### 4. OFFLINE EKYC

- Applicant may directly upload their document (PAN copy) as scanned images on intermediary's portal.
- The documents should be e-signed.
- Digital KYC performed through Offline Aadhaar e-KYC. OVD sourced from Offline Aadhaar e-KYC.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.

##### 5. DIGILOCKER

- Digital KYC performed through the documents (OVD) sourced from Digilocker.
- Original Seen Verification (OSV) of documents as well as IPV / VIPV is exempted.
- Intermediary attestation on documents is exempted.



**CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual**

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM-YYYY format.
- E) For particular section update, please tick (✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines / instructions at the end.
- G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode



<b>For office use only</b>	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number	<input type="text"/>	
	Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)	
		(Mandatory for KYC update request)	

**1. PERSONAL DETAILS\*** (Please refer instruction **A** at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender			
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

**2. PROOF OF IDENTITY AND ADDRESS\*** (Please refer instruction **B** at the end)

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

- A- Passport Number
- B-Voter ID Card
- C-Driving Licence
- D-NREGA Job Card
- E-National Population Register Letter
- F-Proof of Possession of Aadhaar
- II  E-KYC Authentication
- III  Offline verification of Aadhaar



**Address**

Line 1\*

Line 2

Line 3

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

**3. CURRENT ADDRESS DETAILS** (Please refer instruction **B** at the end)

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

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

- A- Passport Number
- B-Voter ID Card
- C- Driving Licence
- D-NREGA Job Card
- E- National Population Register Letter
- F - Proof of Possession of Aadhaar
- II  E-KYC Authentication
- III  Offline verification of Aadhaar
- IV  Deemed Proof of Address - Document Type code
- V  Self Declaration

**Address**

Line 1\*

Line 2

Line 3

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



**A Clarification / Guidelines on filling 'Personal Details' section**

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory : Mother's name, Spouse's name, Father's name.

**B Clarification / Guidelines on filling 'Current Address details' section**

- 1 In case of deemed PoA such as utility bill, etc. or self declaration, the document need not be uploaded on CKYCR
- 2 PoA to be submitted only if the submitted Pol does not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal tax receipt.
03	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
04	Letter of allotment of accommodation from employer issued by State Government or Central Government Departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and licence agreements with such employers allotting official accommodation.

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the Information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
- 10 REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

**C Clarification / Guidelines on filling 'Contact details' section**

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

**D Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

- 1 Guardian details are optional for minors above 10 years of age for opening of bank account only
- 2 However, in case guardian details are available for minor above 10 years of age, the same (or CKYCR number of guardian) is to be uploaded.

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State/U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
ArunachalPradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra & Nagar Haveli and Daman & Diu	DD	Maharashtra	MH	Uttar Pradesh	UP
Ladakh	LA	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GO	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Island	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Island	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Moyotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SI
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Nambia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	MZ	Taiwan province of china	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hongkong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire ICote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion !Reunion	RE	Virgin Island, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao ICuracao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint BartheJemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kittsand Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		



TRDEZ Investment Private Limited | SEBI Regn. No: INZ000311938

BSE Member Code: 6818 | NSE Member Code: 90366 | MCX Member Code: 57250

Corporate Office:

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