

## Account Opening Form - Non-Individual



### Account Opening Form Trading & Demat Account

<b>CLIENT CODE</b>	
<b>BOX / SERIAL NO.</b>	

PLEASE FILL THE BELOW DETAILS IN **BLOCK LETTERS****Entity Details:**

Entity Name	
Incorporation Date	
Applicant Email ID	
Applicant Mobile No.	
Gross Annual Income	<1 Lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs <input type="checkbox"/>
Net worth Amount	
Occupation	

FOR ANY QUERIES CALL US ON **080 – 46702050****PLEASE SEND APPLICATION FORM TO**

The KYC Department  
NCO Securities and Share Broking  
Pvt Ltd (Firstock)  
No 350,1st floor 36th A Cross 7th  
Main Rd 5th Block Jayanagar,  
Bengaluru 560041

For Office Use Only	
Sales Executive Name/Code	
Scheme Code	
Introducer Code / Name	
IPV Status	
AOC	
DP AMC	

S. No.	Name of the Document	Brief Significance of the Document	Page No
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1	Account Opening Form	KYC form - Document captures the basic information about the constituent and an instruction/checklist. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list.	3-4 5 - 9
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	10
3	Rights and Obligations	Document stating the Rights & Obligations of stock broker /trading member and client for trading on exchanges (including additional rights& obligations in case of internet/wireless technology-based trading).	Annexure A
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Annexure B
5	Guidance note	Document detailing do's and dont's for trading on exchange for education of investors	Annexure C
6	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.	Annexure D
7	MITC	Most Important Terms and Conditions	Annexure E
<b>VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
8	Undertaking	Contains voluntary undertakings by the client with respect to NCO's internal operations during the course of the relationship with NCO.	11- 13
9	Running Account Authorization and Mobile Declaration	Letter of Authorization for maintaining a Running Account with NCO and Client consent letter for receiving SMS from NCO	14
10	Client Defaulter Declaration and Client Acknowledgment	Client declaration stating that he is not a defaulter and Client acknowledgment that he has read all the rules & regulations.	15
Name of the Trading Member		<b>NCO Securities and Share Broking Pvt Ltd (hereinafter referred to as " NCO")</b>	
Name of the Clearing Member		NCO Securities and Share Broking Pvt Ltd- NSE, BSE Cash SEBI Regn.No. INZ00026334 Orbis Financial Corporation Ltd NSE, BSE Future & options SEBI Regn.No INZ000165534	
<b>SEBI Registration Number:</b> NCO Securities and Share Broking Pvt Ltd: Member of NSE & BSE - INZ000260334 CDSL MF: Depository services through NCO Securities and Share Broking Pvt Ltd. - IN-DP-67-2015  Mutual Fund ARN :132812			
<b>NCO's Registered Office:</b> No 350 36th A Cross 7th Main Rd 5th Block Jayanagar, Bengaluru, Karnataka 560041, India PH: 080-46702050			
<b>NCO's Corporate Office:</b> No 350 36th A Cross 7th Main Rd 5th Block Jayanagar, Bengaluru, Karnataka 560041, India PH: 080-46702050			
<b>Compliance Officer:</b> Rajkiran Anand Nayak, Phone No. & Email ID: 080-46702020, compliance@ncosecurities.com For any grievance please contact NCO at the above address or email complaints@ncosecurities.com & Phone no. 080- 46702050			

**In case not satisfied with the response, please contact the concerned exchange at:**

NSE: ignse@nse.co.in or contact at 1800-266-0050 | 2. BSE: is@bseindia.com or contact at 022-22728097

**A. IMPORTANT POINTS:**

- Self attested copy of PAN card is mandatory for all clients including promoters.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- For opening an account with Depository participant or Mutual Fund, for a minor or photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

- PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
- Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
- Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

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

- Passport/Voters Identity Card/Ration Card/Registered Lease or Sale Agreement of

Residence/Driving License/Flat Maintenance bill/Insurance Copy.

- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.

**D. Exemptions/clarifications to PAN**

(\* Sufficient documentary evidence in support of such claims to be collected.)

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

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

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

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

Types of entity	Documentary requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year)</li> <li>Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations</li> <li>Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly</li> <li>Copies of the Memorandum and Articles of Association and certificate of incorporation</li> <li>Copy of the Board Resolution for investment in securities market</li> <li>Authorised signatories list with specimen signatures</li> </ul>
<b>Partnership firm</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Certificate of registration (for registered partnership firms only)</li> <li>Copy of partnership deed</li> <li>Authorised signatories list with specimen signatures</li> <li>Photograph, POI, POA, PAN of Partners</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year)</li> <li>Certificate of registration (for registered trust only). Copy of Trust deed</li> <li>List of trustees certified by managing trustees/CA</li> <li>Photograph, POI, POA, PAN of Trustees</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>PAN of HUF</li> <li>Deed of declaration of HUF/List of coparceners</li> <li>Bank pass-book/bank statement in the name of HUF</li> <li>Photograph, POI, POA, PAN of Karta</li> </ul>
<b>Unincorporated Association or a body of individuals</b>	<ul style="list-style-type: none"> <li>Proof of Existence/Constitution document</li> <li>Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>Copy of SEBI registration certificate</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Army/Government Bodies</b>	<ul style="list-style-type: none"> <li>Self-certification on letterhead</li> <li>Authorized signatories list with specimen signatures</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>Copy of Registration Certificate under Societies Registration Act</li> <li>List of Managing Committee members</li> <li>Committee resolution for persons authorised to act as authorised signatories with specimen signatures</li> <li>True copy of Society Rules and Bye Laws certified by the Chairman/Secretary</li> </ul>

















### G. TRADING PREFERENCES / EXPERIENCE

No Prior Experience

Years in Equities \_\_\_\_\_ / Years in Derivatives \_\_\_\_\_ / Years in other Investment Related Field \_\_\_\_\_

\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

	Cash	F&O	Mutual Funds
NSE	<div style="border: 1px solid black; padding: 2px; display: inline-block;">F3</div>  Client Signature	<div style="border: 1px solid black; padding: 2px; display: inline-block;">F4</div>  Client Signature	<div style="border: 1px solid black; padding: 2px; display: inline-block;">F5</div>  Client Signature
BSE	<div style="border: 1px solid black; padding: 2px; display: inline-block;">F6</div>  Client Signature	<div style="border: 1px solid black; padding: 2px; display: inline-block;">F7</div>  Client Signature	<div style="border: 1px solid black; padding: 2px; display: inline-block;">F8</div>  Client Signature

# If, in future, the client wants to trade on any new segment, a separate authorization/letter should be taken from the client by the broker.

### H. ADDITIONAL DETAILS

(I) Whether you wish to receive (a) Physical contract note

(b) Electronic Contract Note (ECN)

If ECN Specify your Email id: \_\_\_\_\_

(ii) Whether you wish to avail the facility of internet trading/wireless technology/mobile trading YES  NO

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of person/s authorized to deal in securities on behalf of the company/firm/others:

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Any Other Information: \_\_\_\_\_

**Internet & wireless technology-based trading facility provided by stock broker to the client**

(All the clauses mentioned in the "Rights and Obligations" document(s) shall be applicable.

Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet Based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet-based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet-based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT website provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy is as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whatsoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such a person was authorized to do so. Also, the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third-party including employees and dealers of the stock broker.
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stockbroker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or nonexecution of his orders due to any link / system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stockbroker/Exchanges.

 F9	Client Signature
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**DECLARATION**

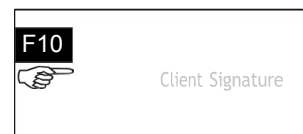
1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

I request you to provide me copy of the following standard documents:

- |   |                                   |
|---|-----------------------------------|
| <input type="checkbox"/> Email (As mentioned in contact details of P-3) | <input type="checkbox"/> Physical |
| 1. Rights & Obligation of stock broker – client and DP-BO               | 4. KYC Application form           |
| 2. Uniform risk disclosure documents                                    | 5. Policy and procedures          |
| 3. Guidance note detailing Do's & Don'ts                                |                                   |

Place \_\_\_\_\_

Date \_\_\_\_\_



Signature of all Authorized Signatory(ies)

Instructions/Checklist - As mentioned in the Circular NSE/INSP/18677 dated August 22, 2011 (Annexure 3)

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

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

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

Signature of the Authorized Signatory

Seal/Stamp of the stock broker

Date \_\_\_\_\_

**Tariff sheet**

To

**NCO Securities and Share Broking Pvt Ltd**No 350 1<sup>st</sup> floor 36th A Cross 7th Main Rd 5th Block Jayanagar, Bengaluru- 560041**Charges for NCO Trading Services**

I/ We agree to pay the charges as per following charges structure for our Trading account with NCO effective

Client ID: \_\_\_\_\_

Charge Head	Brokerage / Charges
Equity Delivery	Zero
Equity Intraday	Rs 20 per executed order or 0.03% on order value whichever is lower
Futures	Rs 20 per executed order or 0.03% on order value whichever is lower
Options	Rs 20 per executed order
Call & Trade Services	Rs 50 per order placed through a Dealer at NCO



Disclaimer: Clients who opt to receive physical contract notes will be charged Rs. 20 per contract note plus courier charges. A brokerage of 0.25% of the contract value will be charged for contracts where physical delivery happens. In addition to the brokerage charge the following charges will also be levied.

**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 | 7. Intra-day Square-off & Margin Shortfall Square-off orders by NCO will be charged Rs.50 Per order | 8. Payment gateway charges at Rs.9 + GST: State-wise stamp duty as applicable will be levied

**Note:**

- Brokerage will not exceed the rates specified by SEBI and the Exchanges All Statutory and Regulatory charges will be levied at actuals Brokerage is also charged on expired, exercised, and assigned Options contracts Turnover for Options is calculated as (Strike + Premium) \*Lot size
- Charges for other value-added services will be applicable at the time of availing such service, upon your consent. Detailed explanation of all charges is available online at: <https://thefirstock.com/charge-list>

 	Client Signature
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Date: \_\_\_\_\_



### ONLY FOR NEW NCO SECURITIES DEMAT ACCOUNT

( To be filled by Applicant in BLOCK LETTERS in English )

I / We request you to open a demat account in my / our name as per following details

**Holders Details:**

Sole/First Holder's Name	PAN No.	AADHAAR
Second Holder's Name	PAN No.	AADHAAR
Third Holder's Name	PAN No.	AADHAAR

**TYPE OF ACCOUNT** (please ✓ whichever is applicable)

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

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

Guardian's Name	PAN							
Relationship with the applicant								
I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')		<input type="checkbox"/> Yes <input type="checkbox"/> No						
I/We would like to instruct the DP to accept all the pledge instructions in my/ our account without any further instruction from my/our end (If not marked, the default option would be 'No')		<input type="checkbox"/> Yes <input type="checkbox"/> No						
Account Statement Required	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly							
I/We request you to send Electronic Transaction cum Holding Statement at the E-mail ID _____		<input type="checkbox"/> Yes <input type="checkbox"/> No						
I/We would like to share the email ID with the RTA		<input type="checkbox"/> Yes <input type="checkbox"/> No						
I/We would like to receive the Annual Report (If not marked, the default option would be in 'Physical')		<input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic						
I/We wish to receive dividend / interest directly into my bank account given through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]		<input type="checkbox"/> Yes <input type="checkbox"/> No						
<b>SMS alert Facility</b>	MOBILE NO +91 _____ [Mandatory, If you are giving Power of Attorney (POA)] (If POA is not granted & you do not wish to avail of this facility, cancel this option)	<input type="checkbox"/> Yes <input type="checkbox"/> No						
<b>Transcation Using Secured Texting Facility (TRUST)</b>	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility, I have read and understood the Terms and Conditions prescribed by CDSL for the same.	<input type="checkbox"/> Yes <input type="checkbox"/> No						
	I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST							
	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Stock Exchange Name/ID</th> <th style="width: 40%;">Clearing Member Name</th> <th style="width: 30%;">Clearing Member ID</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID				
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID						
<b>BSDA</b>	I/We wish to avail the BSDA facility if selected 'No' the demat account will be treated as normal demat account until and unless the BO requests for conversion to BSDA	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Opted Out						
<b>Easi</b>	To register for easi, please visit CDSL website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows you to view your ISIN balances, transactions and value of the portfolio online	<input type="checkbox"/> Yes <input type="checkbox"/> No						

As per Prevention of Money Laundering Act, 2002 (hereinafter referred to as "Act") which came into effect from July 1, 2005 vide Notification No. GSR 436(E) dated July 1, 2005 issued by Department of Revenue, Ministry of Finance, Government of India and SEBI vide its circular reference number ISD/CIR/RR/AML/1/06 dated January 18, 2006 that the intermediary has to formulate and implement certain measure to obtain additional disclosure and also as per SEBI circular reference no. ISD/CIR/RR/AML/2/06 dated March 20, 2006 the intermediary shall ensure the maintenance and preservation of records and reporting of information relating to cash, incidents of money laundering and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi. Hence, the investors should ensure that the amount invested in the securities and represented as credit in their demat account is through legitimate sources only and does not involve and is not designated for the purpose of any contravention or evasion of the provisions of the income Tax Act, Prevention of Money Laundering Act, Prevention of Corruption Act and/or any other applicable law in force and also any laws enacted by the Government of India from time to time or any rules, regulations, notifications or directions issued thereunder.

Please note that, to ensure appropriate identification of the customer(s) under its KYC policy and with a view to monitor its transactions, NCO Securities DP reserves the right to seek information, record customers telephonic call and/or obtain and retain documentation for establishing the identity of the customer, proof of residence, source of funds, etc. It may re-verify identity, seek and obtain any incomplete or additional information for this purpose.

<b>F12</b>			
Signatures	First/sole Holder	Second joint Holder	Third joint Holder

**Sub: Voluntary Undertaking/Authorization**

With respect to member-constituent relationship and mandatory and voluntary (optional) documents executed between us, I/we do hereby authorize NCO to do the following:

**1. ORDER PLACEMENT INSTRUCTIONS**

I understand that you require written instructions from me for placing/modifying/cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/emailing the call Centre/branch specified for the said purpose by NCO in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other approved modes. I/we also agree that non-receipt of bounced mail notification by you shall amount to delivery of contract note at my/our email ID. I indemnify NCO and its employees against all trade related losses, damages, actions which you may suffer or face, as a consequence carrying out my instructions for orders placed verbally.

**2. ERRORS AND OMISSIONS**

I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances NCO shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold NCO responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by NCO.

**3. NO MARKET MANIPULATION**

I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self-trades, etc. or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, NCO has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

**4. NOT TO ACT AS UNREGISTERED SUB BROKER**

I undertake not to act as unregistered Sub-broker and deal only for myself and not on behalf of other clients. In case I wish to deal for other clients also, I undertake to apply to SEBI through NCO to obtain a sub broker registration. In case NCO perceives that I am acting as an unregistered sub broker, NCO has the right to immediately suspend my trading account and close all open positions and adjust the credits (across all segments) against the dues owed by me to NCO without the requirement of any notice from NCO. Further, NCO has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify NCO from any loss/ damage/claim arising out of such activity.

**5. NOT DEBARRED BY ANY REGULATOR**

I confirm and declare that there is no bar on me imposed by any Exchange or any regulatory and/or statutory authority to deal in securities directly or indirectly. I agree to inform NCO, in writing, of any regulatory action taken by any Exchange or regulatory/ statutory authority on me in future. In case I fail to inform the same and NCO on its own comes to know of such action, NCO has the right to suspend/close my trading account and refuse to deal with me. Also, NCO can at its sole discretion, close all the open positions and liquidate collaterals to the extent of trade related debit balances, without any notice to me.

**6. PMLA DECLARATION**

I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by NCO officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

- a. I do not have any links with any known unlawful persons/institutions
- b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

## **7. INDEMNIFICATION**

I hereby indemnify and hold NCO, its Directors and employees harmless from and against all trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the NCO directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

### **INDEMNITY OF JOINT HOLDINGS**

I hereby agree to indemnify and hold NCO harmless from any trade related claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

## **8. MUTUAL FUND SERVICE - NSE / BSE**

I am interested in availing the Mutual Fund Service facility of the Exchanges for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the Mutual Fund Service of the Exchanges. For the purpose of availing the Mutual Fund Service facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of Mutual Fund Service and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the Scheme Information Document and Key Information, Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me. Further it is to be specifically noted that such service is not protected by Investor Protection Fund or from any fund of Exchange / Clearing corporation.

## **9. DELAYED PAYMENT CHARGES**

I understand that in case my account is in debit balance and/or if I have insufficient funds to manage my trading positions, I will be charged an interest of 0.035% per day as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on NCO's website.

## **10. NRI DECLARATION**

I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to NCO every time the investment is made.

## **11. THIRD-PARTY PAYMENTS**

NCO shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request along with adequate proof thereof as per proforma prescribed by NCO. NCO shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above.

However, due to oversight, if any such third-party payment has been accepted by NCO and the credit for the same has been given in the client's ledger, NCO shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, NCO reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. NCO, its Directors and employees shall not be responsible for any consequential damages or losses.

## **12. NO DEALINGS IN CASH**

NCO as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub- Broker/ Remisier/Employee/Authorised Person of NCO.

### 13. DISCLOSURE OF PROPRIETARY TRADING BY NCO

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, NCO discloses to its clients about its policies on proprietary trades. NCO does not proprietary trades in the cash and derivatives segment at NSE & BSE.

### 14. INTERNAL SHORTAGE

The client may not receive shares on T+1 in case there is an internal shortage situation with NCO Securities i.e. the buyer and seller are both NCO Securities clients and the seller defaults in delivery due to which the buyer may not receive the shares. In such cases, on T+1 EOD, the seller would be debited at the highest price traded between trade day to payin/payout day and the buyer would be credited the same as auction credit.

### 15. SQUARING OFF OF POSITIONS & SALE /LIQUIDATION OF COLLATERAL MARGINS (to the extent of Settlement Margin obligation)

The client shall settle the transactions, within the Exchange specified settlement time, by making the requisite payment of funds and/or delivery of the shares. In case the client fails to settle the transactions within the settlement date, then NCO has the right to square off the open and/or unpaid positions, at an appropriate time, as it deems fit, without any notice to the client. The client shall not have any right or say to decide on the timing of closure of the open positions that needs to be closed. NCO, its Directors and Employees shall not be responsible for any trade related loss or damages arising out of such square offs. All such square off transactions shall have implied consent and authorization of the client in favour of NCO.

After such square off of open positions by NCO, as mentioned in above clauses, if there is a debit balance, the client shall pay the same immediately. However, if the client does not clear off the debit balance, NCO shall have the right to liquidate the shares and other securities of the client (kept as collateral/margin) to the extent of the debit balance, without any intimation to the client. The client shall not have the right to decide on the timing of liquidation of shares and securities held in collateral/margin and the shares and securities that needs to be sold or liquidated. NCO, its directors and employees shall not be responsible for any trade related loss or damages arising out of such selling.

### 16. PHYSICAL DELIVERY OF STOCK F&O OPEN POSITIONS

All open stock futures after expiry and all In-the-money Options contracts which are exercised and assigned shall be physically settled. Margin requirement for all future stock contracts will be increased a day prior to expiry day which will range from 50% to 100% on contract value by expiry day.

Margin requirement for all In-the-money Options contracts will be increased 4 days prior to expiry day in a phased manner which will range from 20% to 100% by expiry day.

You should have sufficient balance in your trading account to take physical delivery & you should have sufficient deliverable quantity of shares in your demat account to give physical delivery.

In case the position is not closed and additional margin not brought-in by clients, NCO Securities will have the option to square up the same without giving intimation to the client. Any loss or debit arising out of such square-up's or physical delivery will have to be borne by the client and NCO Securities will not be responsible for the same. For more details, please refer Policy & Procedures on our website.

### 17. AUTHORISATION FOR COMMUNICATION OF FINANCIAL PRODUCTS:

I/We have opened an account with you & am/are interested in knowing about other financial products. I/We authorize you, your group companies & associates to keep me/us informed with any financial product which NCO Securities, its group companies & associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute: through E-mail, SMS, telephone, print media or otherwise. This is without legal obligation on you, your group companies & associates to do so inform & you or they may, in their discretion, discontinue sending such information.

I/We can revoke any or all of the above authorizations at any time in writing, any change in any of the above voluntary/nonmandatory clauses will have to be preceded by a notice of 15 days. The member & the client understand that none of the above voluntary/nonmandatory clause is in contravention with the rules/business rules/notices/circulars of exchanges or SEBI. If any of the above clauses or part there of is found to be or becomes in such contravention, it shall be of no effect to the extent of contravention.



**Most Important Terms and Conditions (MITC)**  
(For non-custodial settled trading accounts)

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





**Running account authorization****Voluntary**

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Interest Rate future Segment & in order to facilitate ease of operations and upfront requirement of margin for trade.

I/We authorize you as under:

1. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) of any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise.
2. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account.
3. I/We request you to settle my fund and securities account (Choose one Option)
  - Once in a calendar Month
  - Once in every calendar Quarter except the funds given towards collaterals/margin in form of Bank Guarantee and /or Fixed Deposit Receipt
4. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges.
5. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.
6. I/We confirm you that I can revoke the above-mentioned authority at any time.
7. This running account authorization would continue until it is revoked by me.

Yours faithfully,

<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">F15</div>	Client Signature
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Date: \_\_\_\_\_

**MOBILE DECLARATION****VOLUNTARY**

The entity \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that my mobile no. is \_\_\_\_\_ Further, I authorize NCO that the same may be used for giving me any information/ alert/SMS.

I further declare the above-mentioned statement is true and correct.

<div style="background-color: black; color: white; padding: 2px; font-weight: bold;">F16</div>	Client Signature
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**Client defaulter declaration**

**VOLUNTARY**

Date: \_\_\_\_\_

The entity \_\_\_\_\_ having PAN \_\_\_\_\_ do hereby declare that we have not been involved in any terrorist activities and we have not been declared a defaulter or my name is not appearing in any defaulter database as per SEBI/ Various Exchange/ Regulatory bodies, etc.

I further declare that the above-mentioned declaration/ statement is true and correct.

F17	Client Signature
-----	------------------

To

**NCO Securities and Share Broking Pvt Ltd**

No 350 1st floor 36th A Cross 7th Main Rd 5th Block Jayanagar, Bengaluru- 560041

**Sub: Acknowledgement**

This is to acknowledge the receipt of following documents. I further state and confirm that I have read and understood all the clauses of aforesaid documents.

Sl. No	Brief significance of the Document
1	Duly Executed Copy of KYC
2	Rights and Obligations
3	Risk Disclosure document (RDD) for Capital, Derivatives, and Currencies Segments
4	Guidance Note - Do's and Dont's for trading on the Exchange(s) for investors
5	NCO Tariff Sheet
6	Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009
7	General Terms & Conditions governing securities trading and broking services of NCO
8	Running Account Authorization, Defaulter Declaration, & Mobile Declaration

I also confirm that I have received the relevant clarifications, if any, wherever required from the officials of NCO

Yours faithfully,

Client Name: \_\_\_\_\_

Date : \_\_\_\_\_

F18	Client Signature
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## NCO Securities and Share Broking Pvt Ltd.

No 350 1<sup>st</sup> floor 36th A Cross 7th  
Main Rd 5th,Block Jayanagar,  
Bengaluru- 560041

### Additional KYC Form for Opening a Demat Account

(To be filled by the Depository Participant)

Application No		Date		DP Internal Reference No	
DP ID	Exchange	NSE/BSE	UCC	Client ID	

(To be filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a demat account in my/ our name as per following details:-

#### Holder Details

Sole / First Holder's Name			
PAN		UID	
Second Holder's Name			
PAN		UID	
Third Holder's Name			
PAN		UID	

\*In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

#### 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's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Margin Trading A/c (MANTRA)	<input type="checkbox"/> Individual-Director <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others(specify)
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI – Depository Receipts	<input type="checkbox"/> NRI non-Repatriable <input type="checkbox"/> NRI Non-Repatriable Promoter <input type="checkbox"/> Others (specify)
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts	<input type="checkbox"/> Others (specify)

#### Details of Guardian (in case the account holder is minor)

Guardian's Name	PAN
Relationship with the applicant	

I / We instruct the DP to receive each and every credit in my / our account(If [Automatic Credit] Yes No not marked, the default option would be 'Yes')

I / We would like to instruct the DP to accept all the pledge instructions in my /our account withoutany Yes No other further instruction from my/our end (If not marked, the default option would be 'No')

Account Statement Requirement  As per SEBI Regulation  Daily  Weekly  Monthly  Fortnightly

I / We request you to send electronic transaction-cum-holding statement at the following Yes No

Email ID	
----------	--

I / We would like to share the email ID with the RTA Yes No

I / We would like to receive the Annual Report  Physical  Electronic  Both Physical and Electronic  
(Tick the applicable box. If not marked the default option would be in Physical)

F19	First/Sole Holder	Second joint Holder	Third joint Holder
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I/We would wish to avail the following facility:

Basic Service Demat Account facility (BSDA)

Yes  No

**Nomination details** (Please tick the appropriate options)

I / We do wish to nominate (Fill Annexure 1A)

I / We do not wish to nominate

I/We wish to receive dividend/interest directly in to my bank account as given below through ECS.  Yes  No  
 (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]

**Bank Details [Dividend Bank Details]**

Account type Saving  Current  Others (specify)

Bank Code (9 digit MICR code)		IFS Code (11 character)	
Account number			
Bank Name			
Branch Name			
Bank Branch Address			
City		State	
Country		PIN code	

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the bank statement having name and address of the BO

(iii) Photocopy of the passbook having name and address of the BO, (or) (iv) Letter from the Bank.

\*In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present/mentioned on the document.

**Other Details**

Gross Annual Income Details (please specify): Income Range per annum

Below Rs 1 Lakh  1-5 Lakh  5-10 Lakh  10-25 Lakh  >25 Lacs

Or Net-worth as on \_\_\_\_\_ date \_\_\_\_\_ (Net worth should not be older than 1year)

Occupation : \_\_\_\_\_

Please tick, if applicable: Politically Exposed Person (PEP)  Related to Politically Exposed Person (RPEP)

Any other information:

<b>SMS Alert Facility</b> Refer to Terms & Conditions given in Annexure - 2.4	MOBILE NO. +91 _____ [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).									
<b>Transactions Using Secured Texting Facility (TRUST).</b> Refer to Terms and Conditions Annexure – 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I have read & understood the Terms and Conditions prescribed by CDSL for the same. I/We wish to register the following clearing member IDs under my/our below mentioned BO ID Registered for TRUST Yes <input type="checkbox"/> No <input type="checkbox"/>									
	<table border="1" style="width: 100%;"> <thead> <tr> <th>Stock exchange name/ID</th> <th>Clearing member name</th> <th>Clearing member ID (optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock exchange name/ID	Clearing member name	Clearing member ID (optional)						
	Stock exchange name/ID	Clearing member name	Clearing member ID (optional)							
	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online									

**F20**

First/Sole Holder	Second joint Holder	Third joint Holder	

## NCO SECURITIES AND SHARE BROKING PVT LTD

DP ID: 12081400

 No. 350, 1<sup>st</sup> floor 36<sup>th</sup> A cross, 5<sup>th</sup> Block, 7<sup>th</sup> Main, Jayanagar, Bangalore - 560041

Tel: 080 46702050

### SCHEDULE-A TARIFF SHEET FOR DEMAT ACCOUNT

#### FOR INDIVIDUALS/HUF/CORPORATES

Details		POA Clients
Stamp charges payable upfront		Rs. 50/-
<b>Annual Maintenance Charges: (Payable Upfront) And Subsequently through ECS/Cheque</b>		
a.	Individuals/Non individual (Except Corporate)	Rs.300/- + GST
b.	Non-Individual - Corporate	Rs.999/- + GST
<b>Life Time Maintenance Charges: (Payable Upfront)</b>		
a.	Individuals/Non-Individuals (Except Corporate)	Rs.1000/- + GST (Non-refundable)
<b>Transaction Charges: (Market Trades)</b>		
a.	Buy (Receive)	Nil
b.	Sell (Debit)	Rs.9/- + Rs.5.50/- (CDSL Charges)
<b>Transaction Charges: (Off Market Trades)</b>		
a.	Buy (Receive)	Nil
b.	Sell (Debit)	0.03% Or Rs.25/- Whichever is higher per ISIN
Dematerialisation		Rs.150/- + GST Per certificate
Rematerialisation		Rs.150/- + GST Per certificate + CDSL Charges
Courier charges per Demat/Remat/Demat Rejection		Rs.100/-
Pledge Request		Rs.30/- + GST
Unpledge Request		Rs.30/- + GST
Pledge Invocation		Rs.20/-
<b>Periodic Statement</b>		
a.	By Email	Free
b.	Physical	Rs.100/- (Courier Charges)
<b>Adhoc /Non-Periodic Statement Requests</b>		
a.	By Email	Rs.10/- Per request
b.	Physical	Rs.50/- Per request upto 10 pages. Every additional page @ Rs.5 + Rs.100/- (Courier)
<b>Delivery Instruction</b>		
a.	First delivery Instruction Book	Free (10 Leaves)
b.	Every Additional Booklet (10 Leaves)	Rs.100/-
Cheque Bounce charges		Rs.350/-
Failed Transactions		Rs.50 per ISIN
Modification in CML		Rs.25/- per request
KRA Upload/Download		Rs.50/-

**Note:**

For all purposes the bill date shall be construed as the date of demand and the bill will be considered as the bill cum notice for payment and NCO Securities and share broking pvt ltd reserves the right to freeze depository account for debit transactions in case of non-payment of charges after two days from the bill date interest @ 18% p.a will be charged on the outstanding bill amount if not paid within the due date. The above tariff is subject to change. Changes if any will be intimated 30 days in advance. GST or any other statutory levies will be applicable on all above charges except stamp charges.

Stamp duty on all off-market transactions will be levies as per CDSL guidelines and needs to be maintained up-front in the trading account.

<b>F21</b>	First/Sole Holder	Second joint Holder	Third joint Holder
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Date: \_\_\_\_\_

To

**NCO Securities and Share Broking Pvt Ltd**

No 350,1st floor 36th A Cross 7th Main Rd 5th Block Jayanagar, Bengaluru- 560041

Dear Sir,

**Sub: Requesting for bill/transaction/holding statement through email.**

I/We request you to send me/us bill, transaction and holding statement of my CDSL Demat account no. \_\_\_\_\_ at following email address: \_\_\_\_\_

I/We fully agree and are aware of following Terms and Conditions mentioned below.

- a) that I/We will not receive the bill, transaction and holding statements in paper form.
- b) that I/We will take all the necessary steps to ensure confidentiality and secrecy of the login name and password of the internet/email account.
- c) that I/We am/are aware that the bill, transaction and holding statements may be accessed by other entities in case the confidentiality /secrecy of the login name and password is compromised.
- d) that I/We in case bill, transaction and holding statements are sent by email, I/We will immediately inform the NCO about change in email address, if any.

In case, the NCO is not able to provide bill/transaction statement to its clients by email or on website due to any reason (including bounced emails), NCO Securities and Share Broking Pvt Ltd. will ensure that the transaction statement is provided to me/us in paper form as per the time schedule stipulated in the Bye Laws & Business Rules of CDSL.

I/We hereby request you to send the statements:

Daily  Fortnightly  Weekly  Monthly


### **Mode of Operations for Demat Account**

We would like to update mode of operation in the Demat account number \_\_\_\_\_ held with NCO Securities & Share broking PvtLtd. As below:

Jointly  Anyone of the holder or survivor(s)

We understand that If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as transfer of securities including Inter-Depository Transfer, pledge/hypothecation/margin pledge/margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities and freeze/unfreeze of account and/or securities and/or specific number of securities will be permitted.

Yours faithfully

**F22**  
 Client Signature


I, the sole holder, or we, the Joint Holders confirm that we would like to designate the First Demat Account Holder (who is a Resident Indian Individual) of our account to receive the CDSL TPIN (or any such other similar PIN as required by any or all Depositories to transact as per the e-DIS facility offered by such Depository) on his/her mobile/email address for execution/permission of all such transactions & ancillary facilities to be availed via such mechanism from any or all Depositories.

### **Declaration**

I/We have received and read the Rights and Obligations documents and terms & conditions and agree to abide by and be bound by the same and the Bye Laws as are in force from time to time. I/We declare that the particulars given by me/us above are true to the best of my/our knowledge as on the date of making this application.

I/We agree and undertake to intimate the DP of any change(s) in the details/particulars mentioned by me/us in this form.

I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my account liable for termination and suitable action.

**F23**  
 Client Signature



**ANNEXURE 1**

<b>DETAILS OF DIRECTORS/ PROMOTERS/PARTNERS /KARTA/AUTHORISED SIGNATORIES</b>				
<b>Particulars</b>	<b>1<sup>st</sup> Signatory</b>	<b>2<sup>nd</sup> Signatory</b>	<b>3<sup>rd</sup> Signatory</b>	<b>4<sup>th</sup> Signatory</b>
Name				
Residential Address With Pin Code				
Mother's Name				
Designation				
PAN No.				
AADHAAR				
MOBILE No.				
Email				
Date of Birth				
DIN				
PEP/RELATED TO PEP (Y/N)				
Photograph of the signatory (sign across photo)				
 Client Signature				

## KYC CHECKLIST (For office use only)

### Application forms:

- Non- Individual application form
- FATCA-CRS Declaration
- KYC – non-individual application form
- CKYC – non-Individual application form
- KYC Individual application form (One copy for each Individual)
- CKYC Individual application form (One copy for each individual)
- Declaration of UBO
- DDPI

### Documents list:

- Pan of the entity/Firm/LLP/HUF
- Address proof (Bank statement/Telephone bill/Electricity bill of the entity/Firm/LLP/HUF)
- Certificate of Incorporation
- MOA & AOA
- Bank document (Cancelled cheque/Passbook front page photo/Statement with complete account number, IFSC code & Entity/Firm/LLP/HUF's name)
- Recent 2 years ITR & Financial statements or Net worth certificate
- Pan & Aadhaar of all the directors/partners/Karta/Authorized signatories

### On the letter head:

- Board resolution/ Partnership resolution
- List of directors/partners
- List of Authorized signatories
- Share holding pattern/ List of PNL sharing percentage

# CONTACT US

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