



Firststock

Account Opening Form Individual

Account Opening Form
Trading & Demat Account

Client Code	
Box / Serial No.	

KYC CHECKLIST (to be filled by client)

PLEASE FILL THE BELOW DETAILS IN **BLOCK** LETTERS

Applicant Maiden Name (if any)			
Applicant Mother's Name			
Applicant Email ID			
Applicant Mobile No.			
Gross Annual Income	☐ < 1 Lac ☐ 1-5 Lacs ☐ 5-10 Lacs ☐ 10-25 Lacs ☐ >25 Lacs		
Networth Amount			
Marital Status	☐ Married ☐ Unmarried ☐ Others		
Occupation:		Education:	
Company:		Designation:	

NOMINEE DETAILS:

Nominee Name	
Relationship with Nominee	
Nominee Date of Birth	
Nominee Email ID	
Nominee Mobile No.	

SELF ATTESTED DOCUMENTS TO BE ATTACHED WITH APPLICATION FORM

- Copy of PAN Card
- Copy of Address proof
- 1 passport size colour photograph (Please paste the photo on the form & sign across)
- Latest 6 months bank statement and 1 cancelled cheque leaf

Note : Wherever signatures are marked (F1, F2, F3,) Please sign there

Please ensure that all proofs being sent are self attested Witness signature in Nomination page (P-19)

For any queries, Call us on 080 - 4670 2050

Please send application form to
The KYC Department,
Firststock Broking Pvt. Ltd.
 (formerly known as NCO Securities
 and Share Broking Pvt Ltd.)

No.350, 1st Floor 36th A Cross,
 7th Main Road, 5th Block, Jayanagar,
 Bangalore – 560041, Karnataka

For Office Use Only

Sales Execution Name/Code	
Scheme Code	
Introducer Code / Name	
IPV Status	
AOC	
DP AMC	

No.	Name of the Document	Brief Significance of the Document	Page No
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/checklist. B. Document captures the additional information about the Constituent relevant to trading account and an instruction /check list.	5 – 6 7
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	9
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
VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
7	Undertaking	Contains voluntary undertakings by the client with respect to Firststock's internal operations during the course of the relationship with Firststock.	10 - 12
8	MITC	Most Important Terms and Conditions	13
9	Policy for GTT Orders	Policy For Handling of Good Till Trigger Orders	14
10	Running Account Authorization and Mobile Declaration	Letter of Authorization for maintaining a Running Account with Firststock and Client consent letter for receiving SMS from Firststock	15
11	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.	16
12	DP	Opening Demat Account	11 - 21
13	Nomination Details	Collects details of any nomination made for the account	22
Name of the Trading Member		Firststock Broking Pvt. Ltd. (formerly known as NCO Securities and Share Broking Pvt Ltd.)	
Name of the Clearing Member		Firststock Broking Pvt. Ltd. (formerly known as NCO Securities and Share Broking Pvt Ltd.) - NSE, BSE, Cash and Futures & Options, SEBI Regn. No. INZ000260334	
SEBI Registration Number: Firststock Broking Pvt. Ltd. (formerly known as NCO Securities and Share Broking Pvt Ltd.): Member of NSE & BSE – INZ000260334 CDSL: Depository services through Firststock Broking Pvt. Ltd. (formerly known as NCO Securities and Share Broking Pvt Ltd.) – IN - DP - 67 - 2015 Mutual Fund ARN : 132812			
Firststock's Registered Office: No.350, 1st Floor 36th A Cross, 7th Main Road, 5th Block, Jayanagar, Bangalore – 560041, Karnataka. Ph : (+9180) 46702050			
Correspondence Address : No.350, 1st Floor 36th A Cross, 7th Main Road, 5th Block, Jayanagar, Bangalore – 560041, Karnataka.			
CEO: Vikram A.V Ph : +91 99000 88267 Email ID: vikram@firststock.in			
Compliance Officer: Rajkiran Anand Nayak, Phone No. & Email ID: 080-46702050, rajkiran@firststock.in For any grievance please contact Firststock 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 :

1. NSE: ignse@nse.co.in or contact at 022-26598100 | 2. BSE: is@bseindia.com or contact at 022-22728097

Instructions / checklist for filling KYC form

A. Important points

- 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.
- 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, 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:

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- 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.
- 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 apostilled 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 up to Rs 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VFCIs, 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. Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of Assets.	Self declaration with relevant supporting documents.

In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

G. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.

H. Demat master or recent holding statement issued by DP bearing name of the client.

For Individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/others & their specimen signatures.

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals Only)

Please fill this form in English and BLOCK Letters

(Please tick the box on the left margin of the appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding window)

For office use only (To be filled by the financial institution)			
Application Type*:	☐ New	☐ Update	KYC Number:
Account Type*:	☐ Normal	☐ Simplified(for low risk customers)	☐ Small

A. Identity details

1. Name (Same as ID Proof)	
1a. Maiden Name (If any)	
2. Father's/Spouse's Name	
2a. Mother's Name	

Photograph

Please affix your recent passport size photograph and sign across it



3a. Gender ☐ Male ☐ Female ☐ Transgender 3b. Marital Status ☐ Single ☐ Married ☐ Other 3c. DOB

4a. Citizenship ☐ Indian ☐ Other _____ (ISO 3166 Country Code)

4b. Residential Status ☐ Resident Individual ☐ Non Resident Indian ☐ Person of Indian Origin ☐ Foreign National

Tick if applicable ☐ Residence for tax purposes in jurisdiction(s) outside India	
ISO 3166 Country Code of Jurisdiction of residence	Place of birth _____
Tax Identification Number or Equivalent	ISO3166 Country Code of Birth

5a. PAN 5b. Unique Identification Number (UID) / AADHAR

6. Proof of Identity Submitted ☐ Pan Card ☐ Other (Please Specify) _____

B. Address details

1. Contact Details	Telephone (Office):	Mobile No.:
	Telephone (Residence):	Email ID:

2. Residence/Correspondence Address Address Type: ☐ Residential ☐ Business ☐ Unspecified

Address: _____			
City/Town: _____	District: _____	Pin Code :	
State/U.T Code: _____	Country/ISO Code :		
Specify the Proof of Address Submitted for Residence / Correspondence Address _____			

C. DECLARATION

I/We declare that the details furnished above are true and correct to the best of my knowledge and undertake all liabilities w.r.t any incorrect information, I also confirm to inform Firststock w.r.t any changes in the future. I/We are also aware that for Aadhaar OVD based KYC, my KYC shall be validated against my Aadhaar. I/We hereby consent to sharing my/our masked Aadhaar with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I/We or Firststock have a business relationship for KYC purposes only. I/We hereby consent to receiving information from CVL KRA & C-KYC Registry through SMS/Email on the above registered number/Email ID.

F2	
	Client Signature

Date:

FOR OFFICE USE ONLY - In Person Verification (IPV) Details:

Name of the Person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: Firststock Broking Pvt. Ltd. (formerly known as NCO Securities and Share Broking Pvt Ltd.)

Date of IPV:

Signature of the Person who has done the IPV _____

Seal/Stamp of the Intermediary _____

☐ Originals Verified and Self-Attested Document Copies Received

Date:

Signature of the Authorized Signatory _____

3. Permanent Address

Address:										
City/Town:					District:				Pin Code :	
State/U.T Code:					Country/ISO Code :					

4. Address in the jurisdiction details where applicant is resident outside India for tax purpose (if applicable)

Address:										
City/Town:					District:				Pin Code :	
State/U.T Code:					Country/ISO Code :					

D. Details of related person (In case of additional related persons, please fill below details)

☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (if available)

Related Person Type : ☐ Guardian of Minor ☐ Assignee ☐ Authorized Representative

Name :										
--------	--	--	--	--	--	--	--	--	--	--

(If KYC number & name are provided, below details are optional)

Proof Of Identity Of Related Person

Identity Proof Submitted :					Number :														
----------------------------	--	--	--	--	----------	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Expiry Date :

Others (any document notified by the Central Govt.)					Identification No.:														
Simplified Measures Account-Document Type Code					Identification No.:														

Trading account related details

A. Bank account details

Account Type: ☐ Savings ☐ Current ☐ Others In case of NRI Account: ☐ NRE ☐ NRO

Bank Name :					Beneficiary Name :														
Branch Address :																			
Account Number :																			
MICR Number :																			

B. 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 to 1 Cr ☐ >1Cr

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

Occupation

☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist

☐ Retired ☐ Housewife ☐ Student ☐ Self Employed ☐ Others (please specify) _____

Mode in which you wish to receive the RDD, Rights & Obligations, and Guidance Note: ☐ Physical ☐ Electronic

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

Past actions

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

C. Depository account(s) details

Depository Name: ☐ NSDL ☐ CDSL

Depository Participant Name																					
Beneficiary Name																					
Depository ID :											Beneficiary ID :										

D. Dealings through other stock brokers

Whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)

Name of Stock Broker					Sub Broker, if any				
Client Code					Exchange(s)				
Website									
Details of disputes/dues pending from/to such stock broker									

E. Introducer details (optional)

Name of the Introducer													
Status of the Introducer - Sub-broker/Remisier/Authorized Person/Existing Client													
Address of the Introducer													
Phone Number :											Signature(optional)		

F. 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.

*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.

Exchange	NSE & BSE		
Segments	Equity	F&O	Mutual Funds
	F3  Client Signature	F4  Client Signature	F5  Client Signature

G. 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

DECLARATION

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

Client Name : _____

Place : _____

Date : _____

F6  Client Signature

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.

	Client Signature
---	------------------

Tariff sheet

To,

Firststock Broking Private Limited

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

Charges for Firststock Trading Services

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

Client ID: _____

Charge Head	Brokerage/ Charges
Equity Intraday	Rs.20 per executed order or 0.03% of order value whichever is lower
Equity Delivery	Zero Brokerage
Futures	Rs.20 per executed order or 0.03% of order value whichever is lower
Options	Rs.20 per executed order

Clearing, Regulatory & Statutory Charges

	STT	Stamp Duty	Transaction Charges	Clearing Charges	SEBI Charges
Equity Intraday	0.025% (sell side)	0.003%	NSE:0.00297% BSE:0.00375%	-	0.0001%
Equity Delivery 0.10%	0.10%	0.015%	NSE:0.00297% BSE:0.00375%	-	0.0001%
Futures	0.02% (sell side)	0.002%	NSE:0.00173% BSE:0	0.00025%	0.0001%
Options	0.01% (sell side) 0.125% (on bought and exercised)	0.003%	NSE:0.03503% BSE:0.0325%	0.0045%	0.0001%

Disclaimer: For Delivery based trades, a minimum of Rs. 0.01 will be charged per contract note. 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 Firststock will be charged Rs.50 + GST Per order | 8. Exchanges stipulate that for F&O positions, 50% of the margin needs to compulsorily come in cash and remaining 50% can be in terms of collateral margin.
If you don't have enough cash, your account will be in debit balance and there will be delayed payment (interest) charges, charge of 0.0329% per day OR 12% per annum applicable on the debit amount.

Note : - Brokerage will not exceed the rates specified by SEBI and the Exchanges

- All Statutory and Regulatory charges will be levied as per exchange, SEBI, and depository circulars published from time to time.

- 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://firststock.in/pricing>

F8



Client Signature

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.

Date : / /

Signature of the Authorised Signatory

Seal/Stamp of the stock broker

Sub: Voluntary Undertaking/Authorization

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

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, Firststock 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 Firststock to obtain a sub broker registration. In case Firststock perceives that I am acting as an unregistered sub broker, Firststock 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 Firststock without the requirement of any notice from Firststock. Further, Firststock has the right to inform the concerned regulatory authorities about the same. In aforesaid eventuality, I agree and undertake to indemnify Firststock 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 Firststock, 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 Firststock on its own comes to know of such action, Firststock has the right to suspend/close my trading account and refuse to deal with me. Also, Firststock 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 Firststock officials. I further declare that I shall adhere to all the provisions of PMLA Act, 2002.

I further undertake and confirm that;

I do not have any links with any known unlawful persons/institutions

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.

F9


Client Signature

7. INDEMNIFICATION

I hereby indemnify and hold Firststock, 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 Firststock 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 Firststock 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 0.0329% per day OR 12% per annum as delayed payment charges. I confirm having read the rules & regulations pertaining to the levy of such interest under the policies & procedures page on Firststock 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 Firststock every time the investment is made.

11. THIRD-PARTY PAYMENTS

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

12. NO DEALINGS IN CASH

Firststock 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 Firststock.

13. DISCLOSURE OF PROPRIETARY TRADING BY FIRSTSTOCK

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19, 2003, Firststock discloses to its clients about its policies on proprietary trades. Firststock does not do 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 Firststock i.e. the buyer and seller are both Firststock 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.

F10



Client Signature

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 Firststock 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. Firststock, 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 Firststock.

After such square off of open positions by Firststock, 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, Firststock 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. FIRSTOCK, 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, Firststock 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 Firststock will not be responsible for the same. For more details, please refer Policy & Procedures on our website.

17. AUTHORISATION FOR COMMUNICATION OF FINANCIAL PROUCTS:

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 Firststock, 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 tie 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.

F11	 Client Signature
-----	---

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.

F12



Client Signature

Policy For Handling of Good Till Trigger Orders

1. Definition and Validity

- GTT Order: A Good Till Triggered (GTT) Order allows the client to predefine a trigger price and limit/market price such that the order is placed to the Exchange only when the trigger condition is met.
- Validity: GTT orders are valid for a maximum of 365 calendar days from the date of order creation.
- One-time Trigger: Each GTT order is valid only once. If the order is triggered but not executed, it will be automatically cancelled at the end of the same trading day, and the GTT must be placed again manually.

2. Order Inputs and Execution

- Trigger Price: The price at which the GTT order gets activated when matched or crossed by the Last Traded Price (LTP).
- Order Type: Can be a Limit Order (placed at a specified price) or a Market Order (executed at market price, where supported)
- Minimum Price Difference:
 - For stocks > ₹50: Trigger Price must be at least 0.25% away from LTP.
 - For stocks ≤ ₹50: Trigger Price must be minimum ₹0.09 away from LTP.

3. Segments and Exchanges Supported

- Segments: Equity, Futures & Options segments
- Exchanges: NSE (National Stock Exchange) & BSE (Bombay Stock Exchange)

4. Product and Order Types

- Product Types: GTT is available only under Delivery/Regular Product types.
- Order Formats:
 - Single Trigger: Used for target or stop-loss order.
 - OCO (One Cancels Other): One trigger for target, one for stop-loss – if one executes, the other is cancelled.

5. Transaction Handling

- Buy Orders: Permitted for all scrips and instruments.
- Sell Orders: In Equity, allowed only for stocks available in holdings. DDPI must be submitted. & In F&O, sell GTT orders are allowed for open positions.

6. Order Trigger Conditions and Cancellations

- Orders are auto-cancelled in the following cases:
 - If limit price is not met on the day of trigger.
 - If trigger price is breached but the limit is outside the circuit filter.
 - If the scrip is in Call Auction mechanism.
 - If the order is placed for F&O contracts after expiry date.
 - If the contract is no longer allowed for trading or exceeds execution range (for derivatives).
- GTT orders are cancelled at sole discretion of RMS in case of:
 - Corporate actions affecting price (split, bonus, rights, merger, delisting, dividend >5%, etc.)
 - Change in exchange series.
- In case of gap up/down opening, the limit order will still be placed, but cancellation may occur if price conditions are not favourable for execution.

7. Risk Management & Order Placement

- RMS Checks: Orders are vetted by FIRSTOCK's RMS before submission to exchange.
 - Orders may be rejected if there is insufficient balance or stock holding.
- Call & Trade: GTT orders cannot be placed using call & trade facility.
- GTT Limit: Maximum of 100 active GTTs per client.

8. Compliance, Risk & Liability

- Non-Execution Risk: Placing a GTT does not guarantee execution. Orders may not execute due to price movement, order type, or exchange rejection.
- Client's Responsibility:
 - Ensure no duplicate or conflicting GTT orders exist.
 - Ensure sufficient margin or holdings.
 - Check for active GTTs before placing new orders in the same scrip.
- Legal Framework:
 - All GTT activity is subject to SEBI, NSE, BSE, and PMLA regulations.
 - Firststock shall not be liable for any loss due to GTT failure, cancellation, or rejection.

9. Charges

- GTT Usage: There is no additional charge for using the GTT feature.
- Brokerage: Regular brokerage applies only if the order is executed.
- Pricing Policy: Subject to change with prior notice.

10. Subject to Change

- Firststock reserves the right to modify, suspend, or terminate the GTT feature and its terms at any time without prior notice. Clients are advised to regularly review the GTT terms before usage.

F13



Client Signature

Running account authorization

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,

F14



Client Signature

Date: _____

Mobile Declaration

Voluntary

The entity _____ having PAN _____ do hereby declare that

my mobile no. is _____. Further, I authorize Firststock that the same may be used for giving me any information/ alert/SMS.

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

F15



Client Signature

Client defaulter declaration

Date: _____

The entity _____ having PAN _____ do hereby declare that I 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.

F16

 Client Signature

To

Firststock Broking Private Limited

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

Sr. 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	Firststock 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 Firststock
8	Client Defaulter Declaration

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

Yours faithfully,

Client Name: _

Date :

F17

 Client Signature

Firststock Broking Pvt. Ltd.

No.350, 1st Floor 36th A Cross, 7th Main Road, 5th Block, Jayanagar, Bangalore – 560041, Karnataka

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	ClientID

(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	
☐ Individual	☐ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter ☐ Individual Margin Trading A/c (MANTRA)	☐ Individual-Director ☐ Individual HUF / AOP ☐ Minor ☐ Others(Specify)
☐ NRI	☐ NRI Repatriable ☐ NRI Repatriable Promoter ☐ NRI – Depository Receipts	☐ NRI Non-Repatriable ☐ NRI Non-Repatriable Promoter ☐ Others (Specify)
☐ Foreign National	☐ Foreign National ☐ Foreign National - Depository Receipts ☐ 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') [Automatic Credit] ☐ Yes ☐ No

I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction ☐ Yes ☐ No
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)

I would like to register for EASI Facility from CDSL INDIA ☐ Yes ☐ No

F18  Signature	First/Sole Holder	Second Joint Holder	Third Joint Holder
---	-------------------	---------------------	--------------------

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											Country									
State											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 Lakh to 1 Crore ☐ >1 Crore

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

Occupation : _____

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

Any Other Information : _____

SMS Alert Facility 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).		
Transactions Using Secured Texting Facility (TRUST). 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 ☐ No		
	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
	To register for easi, please visit our website www.cdslindia.com . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.		

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

F19 	First/Sole Holder	Second Joint Holder	Third Joint Holder
Signature			

FIRSTSTOCK BROKING PRIVATE LIMITED

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

DP ID: 12081400

Tel: 080 46702050

SCHEDULE-A TARIFF SHEET FOR DEMAT ACCOUNT

FOR INDIVIDUALS/HUF/CORPORATES

Details		POA Clients
Stamp charges payable upfront		Rs. 50/-
Annual Maintenance Charges: (Payable Upfront) And Subsequently through ECS/Cheque		
a.	Individuals/Non individual (Except Corporate)	Nil
b.	Non-Individual – Corporate	Nil
Life Time Maintenance Charges: (Payable Upfront)		
a.	Individuals/Non-Individuals (Except Corporate)	Nil
Transaction Charges		
a.	Buy (Receive)	Nil
b.	Sell (Debit)	Rs.8/- + Rs.5.50/- (CDSL Charges)
Transaction Charges: (Off Market Trades)		
	Buy (Receive)	Nil
	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 / Destatement / Remat / Demat & Destatement Rejn./CMR		Rs.100/- +GST
Pledge Request		Nil
Unpledge Request		Nil
Pledge invocation		Rs. 20/- +GST
Margin Pledge		Nil
Unpledge		Nil
Periodic Statement		
a.	By Email	Free
b.	Physical	Rs.100/- (Courier Charges)
Adhoc /Non-Periodic Statement Requests		
a.	By Email	Rs.10/- +GST Per request
b.	Physical	Rs.50/- +GST Per request upto 10 pages. Every additional page @ Rs.5 + Rs.100/- +GST (Courier)
Delivery Instruction		
a.	First delivery Instruction Book	Free (10 Leaves)
b.	Every Additional Booklet (10 Leaves)	Rs.100/- +GST
Cheque Bounce charges		Rs.350/- +GST
Failed Transactions		Rs.50 +GST per ISIN
Modification in CML		Rs.25/- +GST per request
KRA Upload/Download		Rs.50/- +GST

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 Firststock Broking Private Limited 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.

I/We understand that any instruction provided by me to Firststock to transfer securities from my account shall be rejected by Firststock, if there is any debit balance or any unpaid amounts due as per this tariff sheet to Firststock.

F20  Signature	First/Sole Holder	Second Joint Holder	Third Joint Holder
---	-------------------	---------------------	--------------------

Date : _____

To

Firststock Broking Private Limited

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

CDSL Demat Account No.:

Email:

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 Firststock about change in email address, if any.

In case, the Firststock is not able to provide bill/transaction statement to its clients by email or on website due to any reason (including bounced emails), Firststock Broking Private Limited. 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 Firststock Broking Private Limited.
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,

F21

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 BO - DP Agreement 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.

F22

Client Signature

Annexure E

Option form for issue of DIS booklet

Date : / /

DP ID : Client ID :

First Holder Name	
Second Holder Name	
Third Holder Name	

To,

Firststock Broking Private Limited.

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

Dear Sir,

I/We hereby state that: [select one of the option given below]

Option 1:

I/We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I/ We have issued a Power of Attorney (POA) in favor of Firststock Broking Ltd. for executing delivery instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

OR

Option 2:

I/We do not require the Delivery Instruction Slip (DIS) for the time being, Since I/We have issued a POA in favour of Firststock Broking Ltd. for executing the delivery instructions for settling stock exchange trades [settlement related transaction] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

I/We hereby select ☐ Option 1 ☐ Option 2

F23 			
Signature	First/Sole Holder	Second Joint Holder	Third Joint Holder

Client E-mail ID (Optional)

Client Mobile Number

Declaration

I hereby declare that the mobile no./email ID mentioned in the Account opening form/ request for change in mobile no./email ID is my own

Request letter for registration of mobile no./email ID of person belonging to the client's family

Please note that the mobile no./email id/both mentioned in the Account opening form/ request for change in mobile no./email ID belongs to

Mr/Mrs./Ms. _____ who is my _____ [relationship with the client].

F24  Client Signature
--

Only the mobile no./email id of your spouse, dependent children and dependent parents can be registered in your demat account

Annexure 1A

Nomination Details

Firststock Broking Pvt. Ltd. (formerly known as NCO Securities and Share Broking Pvt Ltd.)

Date :

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.

Name	UCC	Demat ID
------	-----	----------

Nomination Details :

Up to 3 nominations can be made	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)			
Share of each nominee			
☐ Distribute equally [If not equally shared, please specify percentage]	Any odd lot after division shall be transferred to the first nominee mentioned in the form.		
Relationship With the Applicant (if any)			
Address of nominee(s)			
Mobile/Telephone no. of nominee(s)			
Email ID of nominee(s)			
Proof of identity submitted			
Fill below details only if the nominee is a minor			
Date of birth			
Name of the guardian			
Address of guardian(s)			
Mobile/Telephone no. of guardian(s)			
Email ID of guardian(s)			
Relationship of guardian with nominee			
Proof of identity submitted			

F25			
	First/Sole Holder	Second Joint Holder	Third Joint Holder

Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member / Depository Participant shall provide acknowledgment of the nomination form to the account holder(s).

Annexure 2

From,

To,

Firststock Broking Pvt. Ltd.

(formerly known as NCO Securities and Share Broking Pvt Ltd.),

No.350, 1st Floor 36th A Cross,

7th Main Road, 5th Block, Jayanagar,

Bangalore – 560041, Karnataka

Date : / /

Subject: Declaration for Confirmation of Signature

Client Code : _____

Sir/Madam,

This letter is to confirm that all signatures placed on the account opening forms, and all such other documents towards Firststock Broking Pvt. Ltd. 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 Firststock Broking Pvt. Ltd. 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 Firststock Broking Pvt. Ltd. or any of its group entities by me/us, I/We will indemnify Firststock Broking Pvt. Ltd. and its directors/employees/agents for all such actions.

Yours faithfully,

Signature: _____

Client Name: _____

Annexure 3

To,
Firststock Broking Pvt. Ltd.
(formerly known as NCO Securities and Share Broking Pvt Ltd.),
No.350, 1st Floor 36th A Cross,
7th Main Road, 5th Block, Jayanagar,
Bangalore – 560041, Karnataka

Date : / /

Subject: Name Confirmation

Client Code : _____

This is to confirm that myself "Mr/ Ms/ Mrs" _____ wants to
open account with you. In my Pan card my name is mentioned as _____
whereas in My bank account my name is mentioned as _____
& in my address proof the name is mentioned as _____

I hereby confirm, that I am the only individual in both the above cases. Also, I am aware that the company will do NEFT transfer/or cheque Payout in the name in
which my Account is Opened and hence company would not be liable in case Bank does not accept the cheque because of name differ.

Regards,

Signature: _____

Client Name: _____

CONTACT US

Visit us : www.firststock.in

Call us : +91 080 4670 2050

Mail us : support@firststock.in

Firststock Broking Private Limited

No. 350, 1st Floor 36th A Cross, 5th Block, 7th main, Jayanagar, Bangalore – 560 041

SEBI Regn No: INZ000260334 NSE BSE MF ARN :132812 CDSL DP: IN-DP-67-2015