

Sl. No:	
---------	--

Client  
Registration  
Form

--



DBFS Securities Limited

Name of Client																
Client Code																
BO ID																
Branch																



## Instructions for filling up and completing the account opening documents

Trading and Demat Account opening form for individuals/ /Proprietorship firm is enclosed..

1. Please fill all information in CAPITAL LETTERS
2. Please ensure that the form is properly filled up, attached with copies of the required documents and complete in all aspects.
3. Pin Code and Phone Number is mandatory
4. Email ID must be provided for issuing Electronic Statements
5. Copy of documentary evidence for the identity and address of the introducer is mandatory
6. Please initial wherever over writing is done
7. Please affix full signature wherever an X mark is found
8. Trading Account cannot be opened in joint names. In case of demat a/c where joint holders are existing, trading a/c should be opened in First holders name.
9. Original documents are to be produced for verification at the time of submission of form
10. If correspondence & permanent address are different, then proofs for both have to be submitted.
11. 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.

<b>Please provide the self attested copy of the below listed documents</b>			
Sl. No.	Documents to be provided <b>All documents should be self attested</b>		Status of Submission
A	PAN Card	PAN card with photograph. (Also used as Proof of Identity)	<input type="checkbox"/> Yes <input type="checkbox"/> No
B	Proof of Address	<b>Resident Individual</b> Aadhaar Passport Voters ID Driving Licence	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
		<b>Non Resident Indian</b> <u>Resident Address proof</u> Aadhaar Passport Voters ID Driving Licence <u>Overseas Address Proof</u> Foreign Driving licence Foreign Passport Current Utility bills Current bank statement Rental agreement or lease or sale deed.	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Yes <input type="checkbox"/> No
C	Bank Proof	1. Cheque leaf containing name of the client or cheque leaf (without name) along with bank stmt or copy of bank passbook along with cheque leaf (MICR Code should be clearly marked)	<input type="checkbox"/> Yes <input type="checkbox"/> No
		2. Copy of Bank Passbook/ Bank transaction statement (Not more than 3 months old)	<input type="checkbox"/> Yes <input type="checkbox"/> No

### Additional document for Trading in Derivative Segment (FAO, Currency segment)

INCOME Proof ( Any one of the following may be considered are income proof)

- a. Copy of ITR acknowledgement
- b. Copy of annual Accounts
- c. Net-worth Certificate
- d. Bank account statement for last six months.
- e. Copy of DMAT holding statement
- f. In case of Salaried persons Latest Salary Slip and Form 16 copy
- g. Any other relevant documents substantiating ownership of assets.
- h. Self declaration along with relevant supporting.

### MINOR

- a. All documents as per Common list for both Minor and his/her Guardian.
- b. Undertaking letter signed by the Guardian.
- c. Recent Passport size Photo of both Minor and Guardian

**Note: In case of joint holders for Demat A/c, use separate KYC (Part I) for each holder**

## INDEX

	Name of the Document	Brief Significance of the Document	Page No	To be signed by	Number of Signatures
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>					
PART I	KYC Form	KYC form for Individual (Trading and Demat A/c Combined)	1	1st Holder (Separate form to be used for each holders)	2
			2	Branch In-Charge	1
PART II	Trading Account Related Details	Most important Terms and Conditions	5	1st Holder	1
		Document captures the additional information about the constituent relevant to trading account	6	1st Holder	2
		Significant Policies & Procedures	8	1st Holder	1
		Tariff Sheet	11	1st Holder	1
PART III	Demat Account Related Details	Additional details required for opening Demat Account	12	All Holders	2
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE COMPANY</b>					
Voluntary Documents	Additional Terms		1	1st Holder	1
	Running Account Authorisation		2	1st Holder	1
	Client Consent and Declaration For Use of Common Email Id And Mobile No		3	1st Holder	1
	Consent to receive the Contract Notes and Account Statement by Email		4	1st Holder	1
	Demat Debit and Pledge Instruction (DDPI)		5	All Holders	2

Name of stock broker/trading member/clearing member/ depository participant: DBFS Securities Ltd.  
SEBI Registration No. and date: INZ000178534 (NSE, BSE, MSEI), IN-DP-147-2015 (DP)  
DPID-12032800 [DP with Central Depository Services (India) Ltd.]

Registered office address: No. 122, 1st Floor, Rajaji Road, West Tambaram, Chennai, Tamilnadu - 600 045  
Ph: 9380873201 Website: www.dbfsindia.com

Correspondence office address: 2nd Floor, Chammany Chambers, Kaloore - Kadavanthara Road, Kaloore, Kochi - 682 017, Kerala  
Ph: +91 484 2566285 Website: www.dbfsindia.com

Compliance officer name, Phone No. & e-mail id: Mr. Johnkutty James, 0484 2566000, compliance@dbfsindia.com

For any grievance/dispute please contact DBFS Securities Ltd. at the above address or e-mail id- grievance@dbfsindia.com and  
Ph: 0484 2566000. In case not satisfied with the response please contact the NSE at ignse@nse.co.in and Ph: 022 26598190  
BSE at is@bseindia.com and Ph: 022 22728517



## PART - I

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

#### Important Instructions:

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



#### For office use only

(To be filled by financial institution)

Application Type\*

☐ New

☐ Update

KYC Number

(Mandatory for KYC update request)

Account Type\*

☐ Normal

☐ Simplified (for low risk customers)

☐ Small

#### ☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector )	
	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)	
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

**PHOTO**

**X1** Signature / Thumb Impression

#### ☐ 2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place / City of Birth\*

ISO 3166 Country Code of Birth\*

#### ☐ 3. PROOF OF IDENTITY (PoI)\* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

#### 4. PROOF OF ADDRESS (PoA)\*

##### ☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)		
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others	<input type="text"/>	please specify
	<input type="checkbox"/> Simplified Measures Account - Document Type code	<input type="text"/>			

#### Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

☐ 4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction E at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1\*   
Line 2   
Line 3  City / Town / Village\*   
District\*  Pin / Post Code\*  State / U.T Code\*  ISO 3166 Country Code\*

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details

☐ Same as Correspondence / Local Address details

Line 1\*   
Line 2   
Line 3  City / Town / Village\*   
State\*  ZIP / Post Code\*  ISO 3166 Country Code\*

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -  
FAX - Email ID

☐ 6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

☐ Addition of Related Person

☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

Related Person Type\*

☐ Guardian of Minor

☐ Assignee

☐ Authorized Representative

Prefix

First Name

Middle Name

Last Name

Name\*

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

☐ A- Passport Number  Passport Expiry Date --  
☐ B- Voter ID Card   
☐ C- PAN Card   
☐ D- Driving Licence  Driving Licence Expiry Date --  
☐ E- UID (Aadhaar)            
☐ F- NREGA Job Card   
☐ Z- Others (any document notified by the central government)  Identification Number   
☐ S- Simplified Measures Account - Document Type code  Identification Number

☐ 7. REMARKS (If any)

8. APPLICANT DECLARATION

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

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : --

Place :

X2

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date --  
Emp. Name   
Emp. Code   
Emp. Designation   
Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name   
Code

[Institution Stamp]

**Important Instructions:**

- A) Fields marked with "\*" are mandatory fields.  
 B) Please fill the form in English and in BLOCK letters.  
 C) Please fill the date in DD-MM-YYYY format.  
 D) Please read section wise detailed guidelines / instructions at the end.

- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.  
 F) List of two character ISO 3166 country codes is available at the end.  
 G) KYC number of applicant is mandatory for update application.  
 H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

**Annexure A1 (If Applicable)****CENTRAL KYC REGISTRY / KNOW Your Customer (KYC) Application From / Individual / Correspondence / Local Address**

**For office use only** (To be filled by financial institution) Application Type\* ☐ New ☐ Update  
 KYC Number  (Mandatory for KYC update request)

**☐ 1. CORRESPONDENCE / LOCAL ADDRESS DETAILS** (Please see instruction E at the end)☐ Same as Current / Permanent / Overseas Address details

Line 1\*

Line 2

Line 3

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

**☐ 2. CONTACT DETAILS** (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction F at the end)

Tel.(Off)  Tel.(Res)  Mobile

FAX  Email ID

**3. APPLICANT DECLARATION**

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

Date :  Place :

**X**

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**Annexure B1 (If Applicable)****CENTRAL KYC REGISTRY / KNOW Your Customer (KYC) Application From / Individual / Related Person**

**For office use only** (To be filled by financial institution) Application Type\* ☐ New ☐ Update  
 KYC Number  (Mandatory for KYC update request)

**☐ 1. DETAILS OF RELATED PERSON** (Please refer instruction G at the end)

☐ 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\* Prefix  First Name  Middle Name  Last Name

(If KYC number and name are provided, below details of section 1 are optional)

**PROOF OF IDENTITY (PoI) OF RELATED PERSON\*** (Please see instruction (H) at the end)

☐ A- Passport Number  Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence  Driving Licence Expiry Date

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government)  Identification Number

☐ S- Simplified Measures Account - Document Type code  Identification Number

**2. APPLICANT DECLARATION**

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

Date :  Place :

**X**

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

**3. ATTESTATION / FOR OFFICE USE ONLY**

**Documents Received** ☐ Certified Copies ☐ Original Verified and Self-Attested Document Copies Received

**IPV AND KYC VERIFICATION CARRIED OUT BY**

Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**INSTITUTION DETAILS**

Name

Code

[Institution Stamp]

**CENTRAL KYC REGISTRY | Instructions / Checklist / Guidelines for / ling Individual KYC Application Form****General Instructions:**

- 1 Fields marked with “\*” are mandatory fields.
- 2 Tick ‘✓’ wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick( ✓ ) in the box available before the section number and strike of the sections not required to be updated.
- 9 In case of ‘Small Account type’ only personal details at section number 1 and 2, photograph, signature and self-certification required.

**A Clarification / Guidelines on filling ‘personal details’ section**

- 1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.).The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either father’s name or spouse’s name is to be mandatorily furnished. In case PAN is not available father’s name is mandatory.

**B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India**

- 1 Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a “functional equivalent”), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

**C Clarification / Guidelines on filling ‘Proof of Identity [Pol]’ section**

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if ‘Z- Others(any document notified by the central government)’ is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 3(S).

Document Code	Description
01	Identity card with applicant’s photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person

**D Clarification / Guidelines on filling ‘Proof of Address [PoA]- Current / permanent / Overseas Address details’ section**

- 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and underlined relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone , piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

**E Clarification / Guidelines on filling ‘Proof of Address [PoA]- Correspondence / Local Address details’ section**

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill ‘Annexure A1’

**F Clarification / Guidelines on filling ‘Contact details’ section**

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

**G Clarification / Guidelines on filling ‘ Related person details’ section**

- 1 Provide KYC number of related person if available.

**H Clarification / Guidelines on filling ‘ Related person details - proof of Identity (Pol) of Related Person’ section**

- 1 Mention identification / reference number if ‘Z- Others (any document notified by the central government)’ is ticked.

## PART - II

### MOST IMPORTANT TERMS AND CONDITIONS (MITC)

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

**X3** \_\_\_\_\_

(Signature of the Client/ First Holder)

## TRADING ACCOUNT RELATED DETAILS

### A. INCOME, OCCUPATION & OTHER DETAILS

1. Gross Annual income Details (Please tick (✓) : ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ >25 Lac  
OR  
Net-worth in ₹ (\* Net worth should not be older than 1 year) \_\_\_\_\_ as on (date)    /    /

2. Occupation (Please tick (✓) : any one and give brief details):  
☐ Private Sector Service ☐ Public sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired  
☐ House Wife ☐ Student ☐ Forex Dealer ☐ Other (Please specify \_\_\_\_\_)

3. Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person  
for definition of PEP, please refer guideline overleaf

4. Any other Information : \_\_\_\_\_

### B. BANK ACCOUNT(S) DETAILS

Bank Name* Branch Address & Pin Code	Bank Account No.*	A/c Type*	9 Digit MICR Code No.	IFSC Code

Whether online payout facility opted ☐ Yes ☐ No

### C. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary name	DP ID	Beneficiary ID (BO ID)

### D. TRADING PREFERENCES

\*Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE & BSE			
All Segments	Cash/Mutual Fund	F&O	Currency	Debt
<b>X4</b>	<b>X4</b>	<b>X4</b>	<b>X4</b>	<b>X4</b>

If you do not wish to trade in any of segments / Mutual Fund, Please mention here.

### E. DETAILS OF 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: .....



## F. 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:		Name of Sub-Broker, if any	
Client Code:		Exchange:	
Details of disputes/dues pending from/to such stock broker/sub-broker:			

## G. ADDITIONAL DETAILS

Whether you wish to receive Electronic Contract Note (ECN) or physical contract note (PCN), please specify	
Specify your Email id, to which ECN and digital statements to be sent, if applicable	

Whether you wish to receive SMS from the company	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify your Mobile Number, if applicable	
Whether you wish to avail of the facility of internet trading/ wireless technology :	<input type="checkbox"/> Yes <input type="checkbox"/> No
Number of years of Investment/Trading Experience:	

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

## H. INTRODUCER DETAILS

Name		Signature
Father's Name		
Address and Phone No.		
Relationship with Applicant	PAN No of Introducer	
Relationship with TM	<input type="checkbox"/> BC <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify.....	
ID details		

## I. OPTION FOR RECEIPT OF STANDARD DOCUMENTS LISTED BELOW (please tick any one)

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic
2. Risk Disclosure Documents for capital Market and Derivative segments	(Where receipt of physical document is opted client acknowledges receipt of the same in physical form as a copy of the document has been given to the client)
3. Guidance Note-Dos and Don'ts for investors	
4. Basic information about AML measures	

## 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) (including additional terms as described in Part IV) and 'Risk Disclosure Document' (Part IV). 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, www.dbfsindia.com .

Place: \_\_\_\_\_

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

(Xs)

( \_\_\_\_\_ )  
Signature of Client/ First Holder

## FOR USE AT HEAD OFFICE

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 Authorised Signatory

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

DBFS Securities Ltd. (Seal)

## SIGNIFICANT POLICIES AND PROCEDURES

### a) Policy for Penny Stock

A stock that trades at a relatively low price and market capitalization. These types of stocks are generally considered to be highly speculative and high risk because of their lack of liquidity, large bid-ask spreads, small capitalization and limited following and disclosure. Depend on the market condition and RMS policy of the company RMS reserve the right to refuse to provide the limit in Penny stocks and losses if any on account of such refusal shall be borne by client only.

to delay caused by such review, shall be borne exclusively by the client alone.

We have margin based RMS system. Total deposits of the clients are uploaded in the system and client may take exposure on the basis of margin applicable for respective security as per VAR based margining system of the stock exchange and/or margin defined by RMS based on their risk perception. Client may take benefit of "credit for sale" i.e. benefit of share held as margin by selling the same by selecting Delivery option through order entry window on the trading platform, the value of share sold will be added with the value of deposit and on the basis of that client may take fresh exposure.

In case of exposure taken on the basis of shares margin the payment is required to be made before the exchange pay in date otherwise it will be liable to square off after the pay in time or any time due to shortage of margin.

### b) Setting up client's exposure limits

DBFS Securities Ltd. (Stock broker) may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/SEBI directions/limits (such as broker level/market level limits in security specific/volume specific exposures etc.), and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems any may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that the losses, if any on account of such refusal or due

c) **Applicable brokerage rate:** - Brokerage rates/ slabs are subject to periodic revision by the stock broker based on the trading pattern and other relevant considerations, but in any point of time the brokerage shall be within the limits prescribed by SEBI/Exchange.

### d) Imposition of penalty /delayed payment charges

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement /schedule at the rate of 2% per month.

The client agrees that the stock broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.



**e) The right to sell client's securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues**

Without prejudice to the stock brokers other right (Including the right to refer the matter to arbitration), the stock broker shall be entitled to liquidate/close out all or any of the clients position without giving notice to the client for non payment of margins or other amounts including the pay in obligation, outstanding debts etc and adjust the proceeds of such liquidation/close out, if any, against the clients liabilities/obligations.

The client shall ensure timely availability of funds/securities in form and manner at designated time and in designated bank and depository account(s), for meeting his/her/its pay in obligation of funds and securities. Any and all losses and financial charges on account of such liquidations/ closing out shall be charged to & born by the client. In cases of securities lying in margin account/client beneficiary account and having corporate actions like Bonus, Stock split, Right issue etc, for margin or other purpose the benefit of shares due to received under Bonus, Stock split, Right issue etc will be given when the shares is actually received in the stock broker designated demat account

In case the payment of the margin / security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc, at the absolute discretion of the stock broker. Where the margin / security is made available by way of securities the stock broker is empowered to decline its acceptance as margin / security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/ shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

**f) Shortages in obligations arising out of internal netting of trades**

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation / clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a) The Short delivering client is debited by an amount

equivalent to 20% above of closing rate of day prior to Payin/Payout Day. The securities delivered short are purchased from market on T+1 day and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.

- b) If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+1 day or Auction day on Exchange + 10% where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.

- c) In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

**g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client**

We have margin based RMS system. Client may take exposure upto the amount of margin available with us. Client may not be allowed to take position in case of non-availability/shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/close out without giving notice due to shortage of margin/ non making of payment for their payin obligation/outstanding debts.

**h) Voluntary Freezing / Blocking of Trading Accounts by Clients**

Clients can report suspicious activities on their trading account and request for freezing/ blocking of their trading account (1) by mailing on the dedicated email ID: stoptrade@dbfsindia.com (request to be made from the client's email id registered with DBFS) or (2) by calling the dedicated number: +91-9633396948 (between 8:30 am and 5:30 pm) call to be made from the client's number registered with DBFS. Upon receipt of the client's request for freezing / blocking of his/her/its trading account and necessary verifications, DBFS shall undertake the following on best efforts basis:

- a. For requests received during the trading hours and within 15 minutes before the start of trading, DBFS to block the account within 15 minutes.
- b. For requests received after trading hours and before 15 minutes before the start of trading, to block the account before the start of the next trading session.

Post freezing/blocking the client's trading account, DBFS would send a communication on the registered mobile number and registered e-mail ID of the client, stating that the online access to the trading account has been frozen / blocked and all the pending orders in the client's trading account, if any, have been cancelled. DBFS shall also communicate details of open positions (if any) to the client along with contract expiry information within one hour from the freezing / blocking of the trading account.

Clients can unfreeze/unblock their trading accounts which are frozen / blocked, by raising a request along with completing Re-KYC procedure.

**I Deregistering a client:-** Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- (I) If the action of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal/proper functioning of securities or disturb the normal/proper functioning of the market, either alone or in conjunction with others.
- (ii) If there is any commencement of a legal process against the client under any law in force;
- (iii) On the death/lunacy or other disability of the Client;
- (iv) If the client being a partnership firm, has any steps taken by the Client and/or its partners for dissolution of the partnership;
- (v) If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stockbroker;
- (vi) If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- (vii) If the Client is in breach of any term, condition or covenant of this Agreement;
- (viii) If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- (ix) If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- (x) If the Client have taken or suffered to be taken any action for its

reorganization, liquidation or dissolution;

- (xi) If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- (xii) If any covenant or warranty of the Client is incorrect or untrue in any material respect;

**J. Inactive Client account:** - Client account will be considered as inactive if a customer has not made any transaction for the last 12 months. Classification of inactive account will be done periodically. Inactive accounts will be suspended in the Trading Front End and will not be available for order entry. Such accounts can be reactivated only after receiving specific request from the client.

**Acceptance of Policies and Procedures stated hereinabove:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended / changed unilaterally by the broker, provided the change is informed to me / us with through any one or more means or methods. I/we agree never to challenge the same on any grounds including delayed receipt / non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the Rights and Obligations Document and shall be compulsorily referred to while deciding any dispute / difference or claim between me / us and stock broker before any court of law / judicial / adjudicating authority including arbitrator/mediator etc.

**X6**

(Signature of the Client/ First Holder)

## SCHEDULE OF CHARGES

### Brokerage Slab

	Fixed Slab			Per Contract Slab		Volume Slab			
	Slab No.	%	Min. Ps	Slab No.	Rate per lot	Slab No.	% / rate		
							L1	L2	L3
CM-Intraday									
CM-Delivery									
Equity Futures									
Equity Options									
Currency Futures									
Currency Options									
MF (Liquid)									
MF (Other)									

If no separate slab is opted ,default slabs will be applied (Default slab: Delivery 0.350% , Intraday 0.0350% ,Futures 0.0350%, Options 50 / lot, MF (Liquid).02%, MF (Other).2%)

### Account Categories and Rates

Particulars	Regular	Premium
Account Opening Charges	NIL	Rs.2500/- (plus GST @ 18%)
Initial Pay-in	Rs.500/-	NIL
Demat Account AMC	Actuals	10 Year waiver of AMC
Stamp Charges	Actual, if any	NIL

Choice of Account ☐ Regular ☐ Premium

### Statutory/ Other Charges

- In addition to the above, the following statutory charges will also be levied at actual:
  - A. Securities Transaction Tax B. Transaction Charges C. GST D. Stamp Duty E. Education and Higher Education Cess
  - F. SEBI Turnover Fees G. Any other charges as may be imposed by the Exchanges/ SEBI/ Government Authorities, from time to time.
- Fees and other charges associated with Demat account shall be charged separately as per Part III G.
- Postage and other incidental expenses incurred shall be debited to the account.

Client's Name

Client's Signature X7

Date:

**PART - III**  
**ADDITIONAL DETAILS FOR OPENING DEMAT A/C**

**Holders Details**

Sole/ First Holders' Name	PAN																		
	UID																		
	UCC																		
	Exchange Name & ID																		
Second Holders' Name	PAN																		
	UID																		
Third Holders' Name	PAN																		
	UID																		

<b>Name*</b>	
<p>* 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</p>	

**A. BANK ACCOUNT(S) DETAILS (Bank A/c to which dividend, refund order etc. to be credited)**

Bank Name*	Branch Address & Pin Code	Bank Account No.*
A/c Type*	9 Digit MICR Code No.	IFSC Code

**B. INCOME, OCCUPATION & OTHER DETAILS**

<p>1. Gross Annual income Details (Please tick (✓) : <input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> &gt;25 Lac</p> <p>OR</p> <p>Net-worth in ₹. (* Net worth should not be older than 1 year) _____ as on (date) <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> / <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/></p> <p>2. Occupation (Please tick (✓) : any one and give brief details):</p> <p><input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired</p> <p><input type="checkbox"/> House Wife <input type="checkbox"/> Student <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Other (Please specify _____)</p> <p>3. Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person <input type="checkbox"/> Related to a Politically Exposed Person</p> <p>for definition of PEP, please refer guideline overleaf</p> <p>4. Any other Information : _____</p>
---

**C. ACCOUNT TYPE (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"/> 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)	

**D. STANDING INSTRUCTIONS**

I/We authorise you to receive each & every credits in my/our account without any instruction from me/us. (Automatic Credit)	<input type="checkbox"/> Yes <input type="checkbox"/> No									
Account Statement Requirement	<input type="checkbox"/> As Per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly									
Do you wish to receive dividend/interest directly to your bank account given herein through ECS?	<input type="checkbox"/> Yes <input type="checkbox"/> No									
SMS alert Facility	<input type="checkbox"/> Yes ( Mobile No _____ ) <input type="checkbox"/> No									
easi	<input type="checkbox"/> Yes ( Facility through CDSL website <a href="http://www.cdslindia.com">www.cdslindia.com</a> ) <input type="checkbox"/> No									
I/We request you to send Electronic transaction Cum holding statement at Sole /First holders E-mail ID stated in the Account Opening Form or at _____	<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 other further instructions from my/our end (if not marked , the default option would be 'No"	<input type="checkbox"/> Yes <input type="checkbox"/> No									
I/ we would like to share the E-mail ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No									
I/ we would like to receive the Annual Report (Tick the applicable box. 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									
Transaction Using Secured Texting Facility (TRUST).	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									
Refer to Terms and Conditions Annexure - 2.6	I/we wish to register the following clearing member IDS under my/our below mentioned BoO ID registered for TRUST									
	<table border="1"> <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)								
Mode of Operations for Joint Accounts :	<input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holder or survivor(s)**									
Option for issue of DIS Booklet (please tick any one) Option 1 <input type="checkbox"/> I/ We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. Option 2 <input type="checkbox"/> I/ We do not wish to receive the DIS Booklet with account opening since I/ We have issued POA in favour of DBFS Securities Ltd. However, the DIS booklet should be issued to me/ us immediately on my request at any later date.										
Option for receipt of Rights and Obligations of Beneficial Owners and Depository Participants	<input type="checkbox"/> Physical <input type="checkbox"/> Electronic (Where receipt of physical document is opted, client acknowledges receipt of the same in physical form as a copy of the document has been given to the client)									
I/ We wish to avail the depository services (Please tick the appropriate services you wish to avail)	<input type="checkbox"/> Regular Services Demat Account (RSDA) <input type="checkbox"/> Basic Services Demat Account (BSDA)									
Features of depository services	- No Limit on holding value - No limit on the number of demat accounts - AMC as applicable from time to time. All services w.r.t demat account are available - Only accounts with a holding value of less than Rs.50,000/- are eligible for BSDA - Investor should have only one DP Account across depositories. - No AMC. Only basic services as per SEBI norms									

**E. NOMINATION DETAILS FOR TRADING AND DEMAT**

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

- ☐ 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.

(Nomination can be made upto three nominees in the account.)

			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)				
2	Share of each Nominee	Equally [If not equally, please specify percentage]	%	%	%
3	Relationship With the Applicant ( If Any)				
4	Address of Nominee(s) City / Place: State & Country: PIN Code				
5	Mobile / Telephone No. of nominee(s)				
6	Email ID of nominee(s)				
7	Nominee Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				
8	Date of Birth {in case of minor nominee(s)}				
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }				
10	Address of Guardian(s) City / Place: State & Country:PIN Code				
11	Mobile / Telephone no. of Guardian				
12	Email ID of Guardian				
13	Relationship of Guardian with nominee				
14	Guardian Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID				

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature



## F. DETAILS OF GUARDIAN IN CASE OF MINOR

Name of Guardian:	First name	Middle Name	Last Name
Relationship with Applicant	First name	Middle Name	Last Name
PAN No. of Guardian:			Email:
Correspondence Address:			
City/town/village	Pincode	State	Country
Contact Details (If available)	Tel (Off)	STD Code	Number
	Mob.No.		Email ID

## G. RATES AND CHARGES FOR DEMAT ACCOUNT

A/c Opening	Nil	Inter Depository	Rs.50/- per transaction
A/c Closing	Nil	Demat	Rs.75/- up to 5 certificate, Rs.5/- per additional certificate
Annual Maintenance Charges*	Rs.400/- per Annum	Remat	Rs.50/- per RRF
Market Trades with in DBFS	Rs.30/- per transaction for BSDA clients Rs.15/- per transaction for Non BSDA clients	Pledge and Un Pledge	Rs.10/- per request
Off Market Transaction	Rs.50/- per transaction	Statutory / other charges	Cost of stamp paper, GST, Postage at actuals as applicable at the prevailing rate

\* For BSDA (Basic Service Demat Account) rates as per SEBI/ depository norms.

## H. NRI DECLARATIONS (for NRI clients only)

### 1. Declaration regarding my/our residential address in abroad

I/we \_\_\_\_\_ hereby declare that I/we am/are residing at \_\_\_\_\_




Further I/We hereby undertake that any change in the residential address shall be informed to the DP, immediately.

### 2. FEMA Declaration

I/We have complied with, and will continue to comply with, FEMA regulations and other applicable laws.

### DECLARATION

I/We have read the terms and conditions in rights and obligations and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/ We declare that the particulars given by me/us above are true and correct to the best of my/ our knowledge as on the date of making this application. I/we agree and undertake to intimate the DP 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.

	First/ Sole Holder	Second Holder	Third Holder
Name			
Signature *			

\* also to be captured as Specimen Signature

Signature of the Authorised Signatory

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

DBFS Securities Ltd. (Seal)

Central KYC Registry Download Consent Form

Dear Sir/Madam

I, ..... S/o / D/o / W/o .....[Father's /Mother's/Spouse Name], give my consent to download my KYC Records from the Central KYC Registry (CKYCR), only for the purpose of verification of my identity and address from the database of CKYCR Registry.

I understand that my KYC Record includes my KYC Records /Personal information such as my name, address, date of birth, PAN number etc.

Signature of client : (X9)

Date:



## **Self-Certification for Individual - FATCA/CRS Declaration Form**

**Name of Subscriber:**

**Client Code :**

**Date of Birth:**

FATCA/CRS Declaration Form		
Part I- Please fill in the country for each of the following:		
1	Country of:	
a)	Birth	
b)	Citizenship	
c)	Residence for Tax Purposes	
2	US Person (Yes / No)	
Part II- Please note:		
a. If in all fields above, the country mentioned by you is India and if you do not have US person status, please proceed to <b>Part III</b> for signature.		
b. if for any of the above field, the country mentioned by you is not India and/or if your US person status is Yes, please provide the Tax Payer Identification Number (TIN) or functional equivalent as issued in the specific country in the table below:		
i)	TIN	
	Country of Issue	
ii)	TIN	
	Country of Issue	
iii)	TIN	
	Country of Issue	
a. In case any of the parameters in <b>Part I</b> indicates that you are a US person or a person resident outside of India for tax purpose and you do not have Taxpayer Identification Numbers/functional equivalent, please complete and sign the Self-Certification section given in <b>Part IV</b> .		

- b. In case you are declaring US person status as 'No' but your Country of Birth is US, please provide document evidencing Relinquishment of Citizenship. If not available provide reasons for not having relinquishment certificate

Please also fill **Part IV** Self-Certification.

**Part III- Customer Declaration (Applicable for all customers)**

(i) Under penalty of perjury, I/we certify that:

1. The applicant is (i) an applicant taxable as a US person under the laws of the United States of America ("U.S.") or any state or political subdivision thereof or therein, including the District of Columbia or any other states of the U.S., (ii) an estate the income of which is subject to U.S. federal income tax regardless of the source thereof. **(This clause is applicable only if the account holder is identified as a US person)**
2. The applicant is an applicant taxable as a tax resident under the laws of country outside India. **(This clause is applicable only if the account holder is a tax resident outside of India)**

(ii) I/We understand that DBFS is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CRS. The DBFS is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/we shall seek advice from professional tax advisor for any tax questions.

(iii) I/We agree to submit a new form within 30 days if any information or certification on this form becomes incorrect.

(iv) I/We agree that as may be required by domestic regulators/tax authorities the DBFS may also be required to report, reportable details to CBDT or close or suspend my account.

(v) I/We certify that I/we provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant.

(vi) I/We permit/authorise DBFS to collect, store, communicate and process information relating to the Account and all transactions therein, by DBFS and any of its affiliates wherever situated including sharing, transfer and disclosure between them and to the authorities in and/or outside India of any confidential information for compliance with any law or regulation whether domestic or foreign.

(vii) I / We hereby accept and acknowledge that DBFS shall have the right and authority to carry out investigations from the information available in public domain for confirming the information provided by me / us to DBFS.

(viii) I/We shall indemnify DBFS for any loss that may arise to DBFS on account of providing incorrect or incomplete information.

Signature : **X10**

Name :

Date (DD/MM/YYYY) :

Part IV- Self-Certification:

To be filled only if-

- (a) Name of the country in Part I is other than India and TIN or functional equivalent is not available, or
- (b) US person is mentioned as Yes in Part I, and TIN is not available

I confirm that I am neither a US person nor a resident for Tax purpose in any country other than India, though one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following document as proof of my citizenship and residency in India.

Signature 



**DBFS Securities Limited**

**Corp. Off.:** 2nd Floor, Chammany Chambers, Kaloor- Kadavanthara Road, Kaloor, Kochi-682017

Ph: 0484 2566000, E-mail: [ho@dbfsindia.com](mailto:ho@dbfsindia.com), [dp@dbfsindia.com](mailto:dp@dbfsindia.com)

Website: [www.dbfsindia.com](http://www.dbfsindia.com)

## ADDITIONAL TERMS (VOLUNTARY)

### Mode of order placement

1. The client hereby authorises DBFS Securities Ltd.(the stock broker) to buy and/or sell securities on his behalf based on orders or instructions made orally or in writing, either telephonically or through any other media including email, fax etc and the client will have the full responsibility of such transactions.
2. Trading in Exchange is in Electronic Mode, based on VSAT, leased line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. I/we understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt or any breakdown in our backoffice/ front end system, or any such other problems/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may result in delay in processing or not processing buy or sell Orders either in part or in full. The client shall not make any claim against the stock broker on any such technical problem or fault.

### Margins

3. The stock broker may at its sole discretion prescribe the payment of any part of or whole of margin in the form of funds only. The Client accepts to comply with the stock broker's requirement of payment of Margin, failing which the stock broker may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion without further reference to the Client and any resultant or associated losses that may occur due to such square off/sale shall be borne by the Client, and the stock broker is hereby fully indemnified and held harmless by the Client in this behalf.
4. In case where the payment by the Client towards the margin is made through a Cheque/ Online fund transfer in favor of the stock broker, the amount shall be deemed to have been credited only upon realization of the funds of the said Cheque/ Online fund transfer by the stock broker.
5. The client hereby agrees that he shall not make any claim from the stock broker, in any manner whatsoever for any losses and costs arising of shortage in margins or delay in releasing the securities, due to reasons associated with or attributable to depository participant/ clearing corporation/ clearing member/ custodian/bank / financial institution or any such entity as referred above.

### Transfer of credits/ balances and recovery of dues

6. The client hereby authorises the stock broker to effect transfer of account balance across segment to meet the margin / settlement obligation on his account(s), as necessitated.
7. The stock broker shall have the right to recover any dues from the client either from the pay-outs or by sale of the

securities whether standing the client's name or securities belonging to the client or of the member of the family of the client in any of the settlement cycle in any Stock Exchange or segment without making further reference to or confirmation from the client. The client also agree and empower the stock broker to appropriate the shares in the demat or physical form either in beneficiary account of the client with lien duly marked or shares deposited with stock broker as margin, by selling off in the market to make up for the dues of the client without any further reference or confirmation from the client.

8. Notwithstanding anything contained in these presents, delayed payment charges at the rate of 2% per month or at a rate the stock broker may determine from time to time will be charged on any amounts, which are overdue from the client to the stock broker, will be charged and the client hereby authorises the stock broker to directly debit the same to the account of the client.

### Legitimacy for undertaking transactions

9. The client hereby undertakes that his registration with the stock broker is in his individual capacity and is for undertaking his own transactions and that no body else has any interest in the account with the stock broker and that the client shall not be acting as an intermediary / sub broker in any manner.
10. The client hereby undertakes that he is not debarred or banned by any regulatory authority or under law from operating in the securities market.

### Brokerage rates and other charges

11. Brokerage rates/ slabs are subject to periodic revision by the Company based on the trading pattern and other relevant considerations without further reference to the client but in any point of time the brokerage shall be within the limits prescribed by SEBI/Exchange .
12. Client will be liable to pay penalty for late pay in/delayed payment charges for not making payment of their payin/margin obligation on time as per the exchange requirement/schedule at the rate of 2% per month.
13. The client agrees that the Company may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the Company has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client.

14. In addition to the brokerage slabs and the applicable stamp/ statutory charges like Securities Transaction Tax, GST and delayed payment charges/ penalties, client may be charged with any other ancillary expenses including DP charges postage charges for sending contract notes/ account statements/ DIS Book etc.
15. The Stock broker may charge usage charges for online trading/STWT as fixed by it from time to time.

**Penalty for auction/ short covering**

16. The client hereby agrees to abide by the internal squaring procedure of the company for settlement of short delivery instances. The client shall be liable to pay 1% of the auction / short covering value towards penalty for auction/ short covering.

**Proprietary transactions**

17. As per SEBI norms, the client is hereby informed that the stock broker has enabled proprietary trading for undertaking own account transactions.

**Intimation of changes and termination**

18. The client shall have the right to terminate this agreement, but in writing only and upon such request for termination or modification, the stock broker shall be entitled to withdraw all or any special facility/ies offered to the client. The client hereby agrees to immediately intimate the stock broker about any change in the facts or details provided in the client

registration document and the stock broker is hereby indemnified from any losses or costs that may arise due to the failure on the part of the client to such timely intimation of change.

**SMS**

19. The client agrees to receive SMS (of both transactional alerts and research recommendations) from the company in the mobile number declared by him in the KYC form. In this regard, the client is informed that:
  - ✓ The recommendations, opinions or suggestions are recommendatory in nature and
  - ✓ The information provided through SMS shall not be construed as offer to buy or sell securities of any kind.

**Online payout facility**

20. The client is hereby informed that even for clients who have opted online payout facility the company will have at its sole discretion the right to make the payout by way of cheque in the event of any technical or operational difficulties for electronic mode transfer.
21. The client is hereby informed that the company after issuing payout instruction electronically through the bank interface, for what ever reason, if he/she does not get credit of amount to his/her bank account, then the same shall not constitute a default on the part of DBFS.

**X12**

(Signature of the Client/ First Holder)

**RUNNING ACCOUNT AUTHORISATION (VOLUNTARY)**

To: DBFS Securities Ltd.

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

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) at 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 ☐ Once in every Month ☐ Once in every calendar Quarter or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt. However you may retain such amount as maybe permitted by SEBI/Exchange for periodic settlement of funds.
4. 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 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. After that I/We shall have no right to dispute the transaction, funds and/or securities ever and agree that you shall not be liable for any incidental loss/damage caused due to retention of funds and/or securities.
5. I/We understand that I can revoke the above mentioned authority at any time by giving a notice in writing to you.

Thanking you

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

Yours faithfully,

**X13**

**CLIENT CONSENT AND DECLARATION for use of common Email ID and /or Mobile No., If applicable (VOLUNTARY)**

I, \_\_\_\_\_ request you to kindly use the below mentioned mobile numbers and

email Id for respective accounts as the said accounts belongs to my family members

Mobile No: .....

Email Id: .....

I understand that it has been mandated by SEBI that separate mobile number and email address is to be uploaded for each client. Further to this, under exceptional circumstances, the Stock Broker/ Depository Participant may, at the specific written request, upload the same mobile number/ email address for more than one account provided such accounts belong to one family.

**“Family” for this purpose would mean self, spouse, dependent children and dependent parents.**

**DECLARATION**

In respect to SEBI circular, I, \_\_\_\_\_, give declaration that below mentioned name belongs to my immediate family and for any discrepancies noted in this regard, I shall be held responsible for the same.

Family Member's Client Code	Family Member's Name	Relationship with declarant	Signature of the Family Member

Signature of Client

(X14)

**Consent to receive the Contract Note and Account statement by E-mail (Voluntary)**

To  
DBFS Securities Ltd  
2 nd Floor, Chammany chambers  
Kaloor, Kadavanthra Road  
Kochi-682006

Date:

Sir,  
My Unique Client Code is.....

I/We hereby consent to receive the contract note / trade confirmations of the trades executed by me / us, bills and account statements thereof, notices, circulars, amendments and such other correspondence or documents in electronic form duly authenticated by means of a digital signature as specified in the information Technology Act 2000 to any of my below mention Email Ids.

E-mail ID:

I / we further hereby agree that the member shall fulfill the legal obligation, if the above documents are sent electronically to any one of the said e-mail ids. I / we undertake to check the contract notes and bring the discrepancies to your notice within 48 hours of the execution of the trade. My / our non verification or not accessing the contract notes on regular basis shall not be a reason for disputing the contract note at any time. I / we agree that the member will not be responsible for non receipt of documents sent via electronic delivery due to change in email address / correspondence address or for any other reason which inter alia include the



malfunction of my / our computer system / server / internet connection etc. I / we also agree that the member shall not take cognizance of out-of-office / out-of-station auto replies and I / we shall be deemed to have received such electronic mails. I/We also confirm that any change in the above referred email ID/s will be communicated to you in writing.

Yours faithfully,

**X15**

(Name & Signature of client)

Notes:

1. The Digital contract notes will be issued in digital form in compliance with the guidelines issued by SEBI / Exchanges from time to time.
2. Digital Contract will be mailed to the E-mail address provided to us in the format as may be prescribed by the Exchange from time to time.
3. Digital Contract will also be available at URL. <https://dbfsindia.com> and clients can view it by using user name and password.
4. In case of any failure in the system of digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
5. Discrepancies, if any, should be intimated by email to E-mail id [grievance@dbfsindia.com](mailto:grievance@dbfsindia.com) within 48 hours of issuance of digital contract notes.
6. All other communication (such as Statement of Funds and Securities / Important announcements and notices) shall be emailed to client at the e-mail id given by the client.
7. In case of statement of funds and securities, client will have time to report the discrepancies within 30 days of the issuance of the Statement.
8. In case of important announcement and notices, the client will have to raise the query within the time specified in the respective communication. If the client is not able to respond within the time specified, it shall be assumed that client has taken note of the communication and he does not have any objection and / or query on the said communication.
9. Feedback or objections may be raised by sending an email to [grievance@dbfsindia.com](mailto:grievance@dbfsindia.com).

Any changes in the above terms and conditions shall be intimated to client from time to time through by an email or letter and non bouncing of email shall be considered as a valid delivery of the client and stock broker shall not be responsible for the consequences thereof.



## Demat Debit and Pledge Instruction (DDPI)

KNOW ALL MEN BY THESE PRESENTS THAT

I / We \_\_\_\_\_  
S/o, D/o, \_\_\_\_\_ aged about \_\_\_\_\_  
I / We \_\_\_\_\_  
S/o, D/o, \_\_\_\_\_ aged about \_\_\_\_\_  
I / We \_\_\_\_\_  
S/o, D/o, \_\_\_\_\_ aged about \_\_\_\_\_  
residing / having our office / registered office at (X1) \_\_\_\_\_  
an  
individual / a sole proprietary concern / a partnership firm / a body corporate/ trust, registered / incorporated,  
under the provisions of the Indian Partnership Act, 1932 / the Companies Act 1956 or any relevant Act,  
(hereinafter referred to as “Beneficial Owner”)

Whereas I / We hold beneficial owner account number 12032800 \_\_\_\_\_ with Central  
Depository Services (India) Limited (CDSL), through DBFS Securities Limited (name of the depository  
participant) registered with Securities and Exchange Board of India (SEBI) Bearing ID 12032800

And Whereas

I / We are desirous to buy and sell securities through DBFS Securities Limited who is a Member of various  
stock exchanges in India including National Stock Exchange of India Limited (NSE), Bombay Stock  
Exchange limited (BSE) and Multi Commodity Exchange of India Limited (MCX) (hereinafter referred to  
as “the Exchange”) bearing SEBI registration No. SEBI registration INZ000178534

Whereas in the course of availing the services and for meeting exchange related deliveries, settlement  
obligations and margin for trading on the exchanges and in order to make the process more transparent and  
simpler, I / We explicitly agree to access my / our BO account by M/s DBFS securities Limited for the limited  
purposes as mentioned herein: access my / our BO account by M/s DBFS securities Limited for the limited  
purposes as mentioned herein:

Sr.No	Purpose	Signature of the client	
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker	1st Holder	(X2)
		2nd Holder	
		3rd Holder	
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	1st Holder	(X3)
		2nd Holder	
		3rd Holder	

3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	1st Holder	X4
		2nd Holder	
		3rd Holder	
4	Tendering shares in open offers through Stock Exchange platforms	1st Holder	X5
		2nd Holder	
		3rd Holder	

I / We hereby authorize M/s DBFS Securities Limited to transfer the securities from my /our beneficiary account to the given Demat Accounts as mentioned herein below in Annexure 1 and /or to other accounts as may be notified by DBFS Securities Limited from time to time, for the aforesaid purposes.

I am given to understand that DBFS Securities Ltd. is maintaining various Demat Accounts as detailed in Annexure 1 hereto.

This is a Revocable Demat Debit and Pledge Instruction (DDPI).

Signed and delivered by the within named Beneficial Owner/s on this      day of \_\_\_\_\_

1st Holder	2nd Holder	3rd Holder
X6		

#### Annexure 1

Name of the BO	DP Id	Clint Id	Code Details
DBFS Securities Limited	12032800	00000159	NSE Pay-In & Pay-Out A/c
DBFS Securities Limited	12032800	00243879	BSE Pay-In A/c
DBFS Securities Limited	12032800	00632083	Client Securities Margin Pledge A/c
DBFS Securities Limited	11000011	00015601	NSE Early Pay-In A/c
DBFS Securities Limited	11000010	00020778	BSE Early Pay-In A/c
DBFS Securities Limited	11000011	00017837	NSE Early Pay-In A/c-MFSS

## DETAILS FOR BRANCH RECORDS

(To be filled and retained at the Branch)

Branch :

Date:

Personal Details														
Name of the Client														
Unique Identification No.(PAN)		<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>												
Client Code Allotted		<table><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>												
Permanent Address														
Telephone No.														
Mobile No.														
Email ID														
Bank Account Details														
Bank Name	Branch Address & Pin Code	Bank Account No.	A/c Type	IFSC Code No.										
Depository Account Details														
DP Name	DP ID	BOID	Type of DP (NSDL/CDSL)											
Exchange and the Segments, the client wish to trade														
NSE	<input type="checkbox"/>	BSE	<input type="checkbox"/>											
Cash Segment	<input type="checkbox"/>	Cash Segment	<input type="checkbox"/>											
Derivative Segment	<input type="checkbox"/>													
Currency	<input type="checkbox"/>													
Name and Designation of the person who has done in - person verification														
Name and Address of the introducer														
Proof of Identity	Number	Date of issue	Place of issue											
PAN														
Passport														
Voters ID														
Driving Licence														

