

*Dear Customer,*

*Welcome to SBICap Securities Limited (SSL)*

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

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

*Some of the facilities on offer are,*

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

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

*Regards*

*SBICAP Securities Limited*

**Registered & Corporate Office:-**

Marathon Futurex, 12th Floor, A & B Wing, Mafatlal Mill Compound, N.M. Joshi Marg, Lower Parel, Mumbai -400013  
Tel: 91-22-4227 3300 • Fax: 91-22-4227 3331 • E-mail: helpdesk@sbicapsec.com • www.sbisart.com

**Compliance Officer:-**

Mr. Dharendra Rautela  
Phone: 022-42273301 • E-mail: compliancecorporate@sbicapsec.com

**Managing Director:**

Mr. Naresh Yadav  
Phone: 022-42273301 • E-mail: md@sbicapsec.com

For any grievance/dispute please contact at the above addresses or  
SSL at complaints@sbicapsec.com or on 1800-22-3345 (Toll Free)

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

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

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

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

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

**Account Opening Information and Choice of Accounts****VOLUNTARY****A. Types of Account**

- Broking:** For investing in equities, derivatives & commodities / IPOs / Bonds market.
- Demat:** Demat account is an account wherein you can hold shares / Bonds / MF units in the dematerialised {electronic} form.
- Mutual Fund SIP:** Systematic Investment Plan in Mutual Fund.

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

- 3 in 1** (Tick All)  **2 in 1** (Tick any two)
- Broking  Demat  Broking & Mutual Fund SIP  Demat & Mutual Fund SIP
- Mutual Fund SIP  Others \_\_\_\_\_

**B. Access to your account:**

You can access your account with ease and convenience through:

- Internet at [www.sbismart.com](http://www.sbismart.com) or Call & Trade through our Toll Free Numbers.
- Branches of SBICAP Securities Limited.

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

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

**2. Do you Trade in**

- Cash Market  Derivatives  Commodity  All

**3. Please specify your profile**

- Speculator  Long Term Investor  Short Term Investor  Other (please specify) \_\_\_\_\_

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

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

**5. Approximate average monthly turnover in Capital Markets**

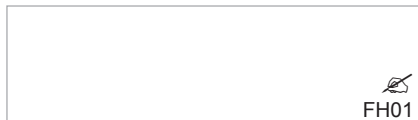
- Less than 5 Lac  5 to 10 Lac  10 to 20 Lac  More than 20 Lac

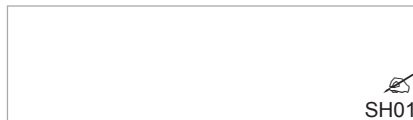
**6. Please classify yourself as an Investor specifying your risk appetite**

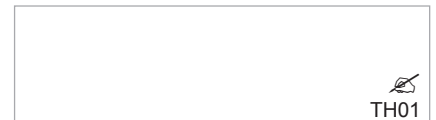
- Very conservative  Fairly conservative  Willing to take moderate risks  Willing to take high risks

I / We understand that in the capacity of Stockbroker you have taken above specification for my/our client profiling. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. I/We have read and understood Risk Disclosure Document for Capital Market and Derivatives Segment. In light of the risk involved, I/we will undertake transactions only if I/we understand the nature of transaction and the extent of exposure to the risk for an investment.

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

  
FH01

  
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**Note: Please Sign within the box in BLACK INK.****ACKNOWLEDGEMENT**

Application No.: P

PAN/UID No.: \_\_\_\_\_

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

SOLE / FIRST Holder's Name: \_\_\_\_\_

Address: \_\_\_\_\_

SECOND HOLDER Name: \_\_\_\_\_

THIRD HOLDER Name: \_\_\_\_\_

For SBICAP Securities Limited

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

Authorised Signatory

Contact No.: 1800-209 9345 (Private Telecom Users) & 1800-22-3345 (MTNL/BSNL Users) • Website: [www.sbismart.com](http://www.sbismart.com) • E-mail: [helpdesk@sbicapsec.com](mailto:helpdesk@sbicapsec.com)

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

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for clients.
  2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
  3. If any proof of identity or address is in a foreign language, then translation into English is required.
  4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
  5. If correspondence & permanent address are different, then proofs for both have to be submitted.
  6. Sole proprietor must make the application in his individual name & capacity.
  7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
  8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
  9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
  10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
  11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations important political party officials, etc.
- B. Proof of Identity (POI):** List of documents admissible as Proof of Identity:
1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
  2. Unique Identification Number (UID)(Aadhaar)/Passport/Voter ID card/Driving license.
  3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.
- C. Proof of Address (POA):** List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission).
1. Passport/Voter Identity Card/Ration Card/Registered Lease or Sale Agreement of Residence/Driving/Flat Maintenance bill/Insurance Copy.
  2. Utility bills like Telephone Bill (Only land line), Electricity bill or Gas bill - Not more than 3 months old.
  3. Bank Account Statement/Passbook - Not more than 3 months old.
  4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
  5. Proof of address issued by any of the following: Bank Manager of Scheduled Commercial Bank/Scheduled Co-Operative Bank/Multinational Foreign Bank/ Gazetted Officer/Notary public/Elected representative to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
  6. Identity card/document with address, issued by any of the following: Central/ State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
  7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
  8. The proof of address in the name of the spouse may be accepted.
- D. Exemptions/clarifications to PAN** (\*Sufficient documentary evidence in support of such claims to be collected.)
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by official appointed by Courts e.g. Official Liquidator, Court receiver etc.
  2. Investors residing in the state of Sikkim.
  3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
  4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
  5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956. Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- E. List of people authorized to attest the documents:**
1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
  2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

## TRADING ACCOUNT OPENING AND DEPOSITORY AMC CHARGES

Trading Account Opening Charges	₹ 850/-
Annual Maintenance Charges	₹ 750/- (₹ 500/- for e-statement)

### SCHEDULE OF BROKERAGE / CHARGES#

Segment	Delivery	Intra-Day		Minimum
		First leg	Second Leg	
Cash Market	0.50%	0.075%	0.075%	₹ 0.05
Derivatives	Future	0.05%	0.03%	₹ 0.01
	Option*	₹ 100/-	₹ 50/-	₹ 50/-
Currency Derivatives	Future	0.03%	0.015%	₹ 0.01
	Option*	₹ 30/-	₹ 20/-	₹ 20/-
Commodity Derivatives	Future	0.05%	0.03%	₹ 0.01
	Option*	₹ 100/-	₹ 50/-	₹ 50/-

\* Per Lot # Excluding all statutory levies. • Any concession in card rates is subject to approval from the competent authority. \* Brokerage at any time shall not exceed more than the maximum permissible limit as prescribed by SEBI / Exchanges.



## FOR DEMAT ACCOUNT

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

### Type of Account (Please tick whichever is applicable)

- Individual / Ordinary Resident   
  Individual Director   
  Individual Director's Relative   
  Individual HUF/AOP   
  Minor  
 Individual Promoter   
  Individual Margin Trading A/C (MANTRA) / Margin Account   
  Others (Specify) \_\_\_\_\_

Name of the First / Sole Holder	PAN No.
Name of the Second Holder	PAN No.
Name of the Third Holder	PAN No.

### Guardian Details\* (Where sole holder is a minor)

[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Name of the Guardian \_\_\_\_\_

PAN No. \_\_\_\_\_ Relationship of guardian with minor \_\_\_\_\_

\*Incase of minor please fill separate KYC page for Guardian

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

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

^I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my / our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

## NOMINATION

I wish to appoint nominee  I do not wish to appoint nominee.

**Note:** Please fill separate nomination form to appoint / update nominee details.

### TRADING ACCOUNT RELATED DETAILS

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

#### DESIGNATED DEMAT ACCOUNT DETAILS

<b>DP Name</b>	<b>DP ID:</b>						
<b>Beneficiary Name</b>	<b>BO ID:</b>						

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

CASH (BSE & NSE)	F&O / Currency (BSE & NSE)	BSE Star MF	Commodity (BSE, NSE, MCX & NCDEX)
	I have knowledge of trading in <input type="checkbox"/> Derivatives <input type="checkbox"/> Currency Derivatives segment and am aware of risks associated therein		I have knowledge of trading in Commodity derivatives segment and am aware of risks associated therein
Date of consent: <span style="float: right;">✍️FH04</span>	Date of consent: <span style="float: right;">✍️FH05</span>	Date of consent: <span style="float: right;">✍️FH06</span>	Date of consent: <span style="float: right;">✍️FH07</span>
<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"/> - <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"/> - <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"/> <input type="text"/> <input type="text"/>

#### Participant Category\* (Commodity Segment only):

- Commercial Participant:**     Value Chain Participant     Exporter     Importer     Hedger
- Non Commercial Participant:**     Financial Participant     Trader     Jobber     Arbitrager

#### PAST ACTIONS PLEASE (✓) AS APPLICABLE

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

#### DEALING THROUGH SUB-BROKERS / AUTHORISED PERSONS AND OTHER STOCK BROKERS Yes    No

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

Sub-Broker/AP/Stock Broker	SEBI / AP Registration No.
Registered office address: _____	
Phone: _____	Fax: _____ Website: _____
Name of Exchange (if yes)	Client Code: (as given by the other broker)
Details of disputes/dues pending from/to such stock broker/sub-broker/AP _____	

#### GST Registration Details (If applicable):

GST Registration No.

Validity:

State:

IEC Code:

#### INCOME DETAILS

Gross Annual Income Details (Please tick):     Below 1 Lac     1-5 Lacs     5-10 Lacs     10-25 Lacs     >25 Lacs (Specify) \_\_\_\_\_

### BANK DETAILS (FOR TRADING & DEPOSITORY)

#### DESIGNATED BANK ACCOUNT DETAILS

<b>Bank Name:</b>	<b>Branch Code:</b>	<b>Branch Name:</b>
<b>Branch Address</b>		
<b>Account Type</b>	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others (Specify in case of NRI / NRE / NRO) _____	
<b>Account No.</b>	<b>MICR Code</b>	<b>IFSC Code</b>

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

#### ADDITIONAL DETAILS

- (a) eContract | Whether you wish to receive Physical Contract Note (PCN) OR Electronic Contract Note (ECN)     PCN     ECN  
 Specify E-mail Id: Incase of ECN | \_\_\_\_\_
- (b) eBroking | Whether you wish to avail internet/wireless trading facility     YES     NO
- (c) Investment/Trading Experience     No prior investment experience     Years of experience
- (d) Do you wish to receive trade confirmation SMS/email directly from the exchanges?     YES     NO

## ACCOUNT OPENING, TRADING & DEPOSITORY CHARGES

**Trading Account Charges:** Account Opening Charges

₹ 850/-

### SCHEDULE OF BROKERAGE / CHARGES AND TAXES

Segment	Delivery	Intra-Day		Minimum
		First leg	Second Leg	
Cash Market	0.50%	0.075%	0.075%	₹ 0.05
Derivatives	Future	0.05%	0.03%	₹ 0.01
	Option*	₹ 100/-	₹ 50/-	₹ 50/-
Currency Derivatives	Future	0.03%	0.015%	₹ 0.01
	Option*	₹ 30/-	₹ 20/-	₹ 20/-
Commodity Derivatives	Future	0.05%	0.03%	₹ 0.01
	Option*	₹ 100/-	₹ 50/-	₹ 50/-

\*Per lot \*Excluding all statutory levies. • Any concession in card rates is subject to approval from the competent authority.

### DEPOSITORY SERVICE CHARGES

HEAD	CHARGES
Account Maintenance Charge Individual	₹ 750/- (₹ 500/- for e-statement)
Account Maintenance Charge Non Individual	₹ 1000/-
Closure of Account	Nil
<b>On-Market (Sell Market) / Off Market (% of transaction value of each ISIN)</b>	
with POA (applicable for On Market Instructions only)	0.01% (Min. ₹ 21/- Max. ₹ 300/- )
For instruction submitted through internet	0.01% (Min. ₹ 21/- Max. ₹ 300/- )
For instruction submitted through Branches	0.04% (Min. ₹ 30/- Max. ₹ 50,000/-) Extra Charges ₹ 10/- per ISIN for Late submission
Buy- market and off-market	Nil
Rejection / Failed instruction	₹ 10/- per failed instruction
<b>Dematerialisation / Rematerialisation</b>	
For each request form - Dematerialisation	₹ 35/-
Extra for each certificate - Dematerialisation	₹ 5/-
Rematerialisation (For each request form)	₹ 35/- plus ₹ 10/- for every hundred securities or part thereof, or a flat fee of ₹ 10/-per certificate whichever is higher
<b>Pledge Creation/Closure/Confirmation/Invocation (% of value for each ISIN in each request)</b>	
If SSL/SBI is the counter party	0.02% of Value or Min ₹ 25/- whichever is higher (Plus CDSL/NSDL Charges)
If SSL is not the counter party	0.04% of Value or Min ₹ 50/- whichever is higher (Plus CDSL/NSDL Charges)
<b>Additional Accounts Statements</b>	
By Courier	₹ 30/-
By Email	Nil

\*Excluding all statutory levies. • Any concession in card rates is subject to approval from the competent authority.

### INTRODUCERS DETAILS (OPTIONAL)

<b>Name</b>			
<b>Status of the Introducer</b>	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Employee of A & S <input type="checkbox"/> Other (Specify) _____		
<b>Address</b>			
<b>Contact Details</b>	<b>Mobile:</b>	Signature of Introducer	

### OFFICE USE ONLY

UCC Code allotted to the Client:	Client Interviewed By
Name of the Employee	Employee Code                      Designation
Date	Signature of the interviewer

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

**For SBICAP Securities Limited**

**Authorised Signatory**

## FATCA DECLARATION

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
<b>Is your Tax Residency/ Country of Birth/ Citizenship/Nationality other than India?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____
<b>If yes, please indication all countries in which you are resident for tax purpose and the associated Tax ID number below:</b>			
<b>Country of Tax Residency# Tax Identification Number* Identification Type</b>	_____	_____	_____
<b>Country of Tax Residency# Tax Identification Number* Identification Type</b>	_____	_____	_____

#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA, India & Canada.  
 \*Incase tax identification number is not available, kindly provide its functional equivalent.

## DECLARATION

1. I hereby declare that the details furnished in the account opening form 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/we are aware that i may be held liable for it
2. I confirm having read/being explained and understood the contents of the document on policy and procedure of the stock broker and the tariff sheet.
3. I further confirm having read and understood the contents of the Schedule of Charges, Rights and Obligations document, Risk Disclosure Documents, Policies and Procedures and Guidance Note. I do hereby agree to be bound by such provisions as outlined in this documents. I have also been informed that the standard set of documents has been displayed on [www.sbismart.com](http://www.sbismart.com).
4. The rules and regulations of the Depository Participants pertaining to an account which are in force now have been read by me/us and I have understood the same and I agree to abide by and to be bound by the rules are in force from time to time for such accounts. I/We acknowledge the receipt of copy of the document, "Rights and Obligation of the Beneficial Owner and Depository Participant"

## TERMS AND CONDITIONS

- a) The client will be charged brokerage, commission, fees, depository charges, delay payment charges, charges for short messaging alerts, mailing and courier charge for handling share in connection with Dematerialisation / Rematerialisation, mailing physical statements and applicable statutory levies/taxes including GST, securities transaction tax, other taxes, and transaction expenses as they exist from time to time. The charges are exclusive of applicable statutory levies/ taxes including GST and will be recovered in actual basis. There will be a charge of Rs.100/- for dishonour of any cheque or unsuccessful attempt to recover payment through direct debit or ECS.
- b) SBICAP securities Ltd. (SSL) shall from time to time subject to Exchange/Depository provisions and restrictions imposed in this behalf by SEBI, determine and modify the amount of brokerage, charges, commission, fees, and other charges plus applicable taxes payable per transaction by the client. Such changes will be intimated to the Client by ordinary post and published on the SSL website in writing and as mutual agreed upon.
- c) The depository/Broking services are liable to discontinuation if SSL is unable to recover charge from the customer for any reason whatsoever. In such cases there will be a charge Rs. 250/- for resumption of services and the services will be resumed after a minimum of three working days from the date of receipt of request at Centralised Processing Cell of SSL at Mumbai.
- d) Any service that is not indicated above will be charged separately as per the rates applicable from time to time. The client shall abide by the above terms and conditions and pay applicable charges as levied by SSL to subscribe for any product/scheme(s). SSL reserves the right to revise the tariff structure from time to time, any change in tariff will be communicated to the BO with 30 days prior notice by email/ ordinary post/ courier. The said revised tariff will also be displayed on SSL website [www.sbismart.com](http://www.sbismart.com) for BO's information/communication. BO is requested to take note of applicable tariff displayed on the SSL's website from time to time.

FH08

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

SH02

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

TH02

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



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**A. AUTHORITY FOR MAINTENANCE OF RUNNING ACCOUNT****VOLUNTARY**

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

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

I Further authorise SSL to retain such amount of funds payable to me, not exceeding Rs. 10,000/- (Rupees ten thousand only) or such other permissible amount as directed by regulatory authorities from time to time during any monthly/quarterly settlement of my account. I, further agree that my account shall be deemed to have been settled as per SEBI/Exchange guidelines for respective quarter notwithstanding the said retention by SSL.

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

- i. I am availing margin trading facility as per SEBI circulars.
- ii. I have provided funds received towards collaterals / margins in the form of Bank Guarantee (BG)/ Fixed Deposit Receipts (FDR). Please note that I would like the mandatory settlement of the funds and securities (if applicable) as indicated below. (tick against your preference)

Monthly Basis       Quarterly Basis

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

**B. AUTHORITY FOR DIGITAL DOCUMENTS****VOLUNTARY**

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

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

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

**C. CONSENT FORM FOR SHARING KYC DETAILS****VOLUNTARY**

I hereby  authorize  do not authorize (tick whichever applicable) SBICAP Securities Limited (SSL) for sharing of any of my information for the purpose of operation of the trading & demat account or for marketing and offering of various products and services of SSL and / or any of the product(s) of its group companies, subsidiaries and affiliates.

I hereby authorise SSL or its relevant group companies, subsidiaries and affiliates as the case may be to contact me through any mode including making calls/sending SMS alerts on my registered mobile phone number or sending e-mails to my registered e-mail id for marketing related information.

I hereby confirm that this declaration/consent shall supersede, substitute and replace any other consent/confirmation issued by me in this regard previously and shall apply whether or not my registered mobile number has been registered on "Do not Call" registry.

**Note:** I hereby authorize SSL for above part  A,  B,  C.

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

  
FH09

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## DEBIT AUTHORISATION

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

Address : \_\_\_\_\_

To,

\_\_\_\_\_  
(Banker Name)

**Reference: Saving /Current A/c** \_\_\_\_\_

Dear Sir,

### Subject: Debit Authorisation

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


And for the purpose of providing seamless Depository and Trading facility by SSL, I / We have executed a Power of Attorney in favour of SSL to give instructions to the BANK for any matter concerning the purpose including debiting the BANK ACCOUNT for Account Opening Charges, Depository Transaction Annual Maintenance Charges, fees towards any SSL's products and services availed by me from time to time and Other Charges applicable as mentioned in the table below or as will be intimated to me / us by SSL from time to time and payable by me/ us in respect of the above mentioned DP/Trading accounts.

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


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

Head	Frequency	Amount
Account Opening Charges (Individual)	Once	₹ 850/- Plus KRA Charges (As Applicable)
Account Opening Charges (Non Individual)	Once	₹ 1000/- Plus KRA Charges (As Applicable)
Annual Maintenance Charges (Individual)	Yearly	₹ 750/-
Annual Maintenance Charges (Non Individual)	Yearly	₹ 1000/-
DP Charges	Monthly	As per DP Tariff
Other Charges	Monthly	As Applicable
Products / Services	As Applicable	As Applicable


#### Details of Account Holder(s) in Bank

 FH10 \_\_\_\_\_

First Holder Name \_\_\_\_\_

 SH03 \_\_\_\_\_

Second Holder Name \_\_\_\_\_

 TH03 \_\_\_\_\_

Third Holder Name \_\_\_\_\_

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## POWER OF ATTORNEY

Whereas I/We \_\_\_\_\_ having

Residence / office at \_\_\_\_\_

have executed Account Opening Form alongwith Mandatory documents as prescribed by SEBI & Exchanges [Bombay Stock Exchange (BSE), National Stock Exchange (NSE)] hereinafter called "THE DOCUMENTS" with SBICAP Securities Limited, a company registered under the Companies Act, 1956 having its Registered and Corporate office at Marathon Futurex, 12th Floor, A&B Wing, Mafatlal Mill Compound, N. M. Joshi Marg, Lower Parel, Mumbai - 400 013 and Branch Office at 51, S. M. Arcade, 2nd Floor, Gayathri Nagar, 100 Feet Road, Mudaliarpet, Pondicherry - 605004, hereinafter referred to as "SSL", (which expression shall, unless repugnant to the context mean and include its successors) for availing their trading facilities to invest and / or trade in shares and / or securities, make investments and enter into various transactions as mentioned in THE DOCUMENTS.

This involves operation of my / our accounts including BANK ACCOUNT maintained with \_\_\_\_\_ (hereinafter called as "THE BANK") and DEMAT ACCOUNT maintained with Depository Participant \_\_\_\_\_ (hereinafter called as "DP") as detailed in Schedule I and to facilitate trading through my/our account with SSL, it is desirable for me / us (hereinafter collectively referred to as "the Joint Account Holders" as detailed in Schedule I) to give certain authorizations / standing instructions in favour of THE BANK and DP so as to enable me / us to utilize the facility made available by SSL. Now therefore, I/We, the undersigned, hereby authorize THE BANK and DP, acting through any of its officers or employees, to be my / our true lawful attorney and agent for the following purposes:-

- (a) to block, hold all or any of the funds and / or securities or to mark a lien either on the funds and / or the securities in my / our designated accounts (as detailed in Schedule I hereunder which forms a part and parcel of this authorization) in favour of and for the benefit of SSL for the purpose of margin/delivery obligation(s) for funds and securities arising out of the trades executed by me/us on any of the stock exchanges through SSL. SSL may also debit/transfer funds from my/our BANK ACCOUNT towards payment of amounts towards Account Opening Charges, Depository Transaction & Annual Maintenance Charges and/or any fees/charges towards any SSL's products and/or services availed by me/us from time to time and/or Other Charges as may be intimated to me/us by SSL from time to time and payable by me/us in respect of the above mentioned DP/Trading account(s), including the amounts towards aforesaid margin/delivery obligation(s). I/We authorize and instruct THE BANK/DP not to release the abovesaid lien on funds and / or securities created in favour of SSL, until instructed by SSL.
- (b) without any further instructions from me / us and irrespective of any instructions given by me / us, to transfer all or any funds and / or securities from my / our designated accounts (as detailed in Schedule I) or any other accounts that would be informed by me/us from time to time to the BANK ACCOUNTS and/or DEMAT ACCOUNTS of SSL as may be requested for by SSL. For this purpose, THE BANK/DP may do and carry out all acts and deeds, as may be necessary for transfer of such funds and / or securities to SSL. I/We confirm that requests and / or instructions given by SSL for transfer of such funds and / or securities shall be completely binding on me / us.
- (c) To do all the necessary things, acts and deeds in connection with the aforesaid purposes.
- (d) THE BANK/DP shall not be liable for any loss that may result from failure / inability of electronic connectivity or otherwise. And I/ We hereby agree to ratify all the acts, and things done by THE BANK/DP through any of its officers / employees pursuant to the powers herein above contained, which shall be binding on me/us.
- (e) Further, to facilitate proper execution of my /our obligations for:
  - i) purchase or redemption or sale of shares, securities , stocks, bonds, debentures, mutual fund units, units of any collective investment scheme; and
  - ii) applying for any offer or public issue of shares, securities, stocks, bonds, debentures, mutual fund units, units of any collective investment scheme; any other financial instruments.

  
FH11

  
SH04

  
TH04

NOW KNOW YOU ALL AND THIS POWER OF ATTORNEY WITNESSTH that I/we do hereby nominate, appoint and constitute SSL

acting through any of its directors, officers and / or agents, as my / our true and lawful Constituted attorney (herein after referred to as the said Attorney) in my / our name and on my / our behalf and at my / our risk and costs to do, exercise and perform all / any of the following acts, deeds and things:

1. To operate, block and/or debit the BANK ACCOUNT and the DEMAT ACCOUNT (as detailed in Schedule I ) in terms of the document executed for transactions between me / us and SSL, done on the National Stock Exchange of India Limited ( NSE), the Bombay Stock Exchange Limited (BSE) or other Stock Exchanges, in India or abroad, to meet all margin/delivery/fund/ securities obligations arising out of trades executed on behalf of me/us through SSL.
2. To give other instructions relating to the BANK ACCOUNT and the DEMAT ACCOUNT for any matter concerning the purpose including debiting the BANK and DEMAT ACCOUNT for charges for account opening, transfer of funds and securities for meeting the settlement obligations/ margin requirements in relation to the trades executed by me/us and for meeting obligations arising out of subscribing to various facilities / services/products offered by SSL and giving instructions regarding the prioritizing of instructions received by the said BANK/DP with respect to the BANK & DEMAT ACCOUNT.
3. To credit the respective BANK ACCOUNT and the DEMAT ACCOUNT with monies and securities respectively due to me/us.
4. To issue instructions to debit my/our BANK & DP ACCOUNT, towards monies/ fees/ charges etc due to SSL and to discharge all funds & securities obligations in this regards on my/our behalf by virtue of I/we using/subscribing to any of the facilities/ services/ products provided by SSL.
5. And if required, to make applications, issue instructions for creation of lien and/or charge on funds and or to create lien or pledge on the securities owned or bought by me/us for the limited purpose of meeting margin requirements for the trades executed or to be executed by me/us through SSL.
6. To make applications for such investment products including but not limited to initial public offers, new fund offers, mutual funds, insurance policies, non convertible debentures, etc. as may be instructed by me/us in terms of the DOCUMENT executed and to do all things necessary for and incidental to availing such investment products on my/our behalf through SSL.
7. To execute indemnities and any other documentation and to fill in forms etc as and when required by THE BANK for any matter relating to the purpose or any of the powers granted hereby.
8. To do all such acts, deeds and things as may be necessary for or incidental to the powers hereby and/or the above mentioned purpose including adjusting balances/ amounts. (Note: Inter client adjustments are not allowed.)
9. To return to me/us securities or funds that may have been received by SSL erroneously or that it was not entitled to receive.
10. To send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates by way of short messaging services or email on a daily basis.
11. To retain all originals of documents executed by me/us or by the constituted attorney on my/our behalf;
12. I/We the joint holders (First, second third holders) of demat account hereby agree and confirm that we joint holders have ourself mapped our joint demat account to the trading account held by the first holder of the demat account. Further, I/We the joint holders of demat account agree, ratify and confirm to bind ourselves to any and every instruction given by the trading account holder/first holder of the demat account towards settlement of his trade/transaction through this joint demat account.

And I/we hereby agree to confirm and ratify all acts, matters, things or deeds done by the said attorney (SSL) on my/our behalf in my/ our name pursuant to the powers and authority granted thereto as if the same were done by me/us;

And I/we hereby agree and confirm that any instructions issued by the said Attorney (SSL) in my/our name or on my/ our behalf to THE BANK/DP shall be binding on THE BANK/DP as the case may be, who shall be fully entitled to act on the same.

This Power of Attorney and authorisation shall not be affected by lapse of time. It shall continue in full force and effect until the attorney shall receive intimation of such revocation, or in the event of the termination thereof by my/our death until the attorney shall have received actual intimation thereof, and such revocation or termination shall in no way affect the validity of this power of attorney, with reference to any transaction initiated by me/us or my/our attorney pursuant to this power of attorney, prior to the actual receipt by the attorney of intimation of such revocation or termination, as above provided. The attorney shall not act on any instructions received subsequent to the intimation of such revocation; however, such revocation shall not be applicable for any outstanding settlement obligation arising out of the transaction carried out prior to receiving request for revocation of power of attorney.

In case of revocation of this power of attorney, SSL, may terminate the on-line trading facility, if any, offered to me/us and I/We undertake to pay all the charges, expenses, etc. consequent to such termination.

The said Power of Attorney may be revoked at any time without notice.

  
FH12

  
SH05

  
TH05

IN WITNESS WHEREOF I /We have hereunto set and subscribed our respective hands at this \_\_\_\_\_ Day of \_\_\_\_\_ 20 \_\_\_\_\_.

Application No. \_\_\_\_\_

**List of SBICAP Securities Limited Bank & Demat Accounts where Funds & Securities can be moved.**

DP Name	DP ID	BO ID	Remarks	Bank Name	Account No.
SBICAP Securities Ltd	12047200	000100383	BSE PAYIN POOL A/c	State Bank of India	30230175497
SBICAP Securities Ltd	12047200	000100419	NSE POOL A/c		
SBICAP Securities Ltd	IN306114	10000045	BSE POOL A/c		
SBICAP Securities Ltd	IN306114	10000037	NSE POOL A/c		
SBICAP Securities Ltd	12047200	17594906	CDSL COLLATERAL A/c		
SBICAP Securities Ltd	IN306114	11592085	NSDL COLLATERAL A/c		
NSE Clearing House	11000011	00014437	NSE EPI Pool A/c		
BSE Clearing House	11000010	00017938	BSE EPI Pool A/c		

**Schedule I - Details of the Designated Accounts**

**Bank Account Details:**

a) Account No. \_\_\_\_\_

b) Account Type: Saving/Current/Others \_\_\_\_\_

c) Maintained with branch \_\_\_\_\_ of \_\_\_\_\_


**DP Account Details:**

a) DP ID \_\_\_\_\_


b) DP Name \_\_\_\_\_


c) Client ID \_\_\_\_\_


**Details of Account Holder(s)**


 \_\_\_\_\_  
FH13  
First Holder Name \_\_\_\_\_


**Details of DP Holder(s)**

 \_\_\_\_\_  
FH14  
First Holder Name \_\_\_\_\_

 \_\_\_\_\_  
SH06  
Second Holder Name \_\_\_\_\_

 \_\_\_\_\_  
SH07  
Second Holder Name \_\_\_\_\_

 \_\_\_\_\_  
TH06  
Third Holder Name \_\_\_\_\_


 \_\_\_\_\_  
TH07  
Third Holder Name \_\_\_\_\_

**Witness of the Client**

Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_


 \_\_\_\_\_

**Witness of the Client**

Name \_\_\_\_\_

Address \_\_\_\_\_

\_\_\_\_\_


 \_\_\_\_\_

I/We, hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned herein above.

For and on behalf of **SBICAP Securities Ltd.**


Authorised Signatory

**Witness to SBICAP Securities Ltd.**

 \_\_\_\_\_

Name \_\_\_\_\_

**Witness to SBICAP Securities Ltd.**

 \_\_\_\_\_

Name \_\_\_\_\_



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