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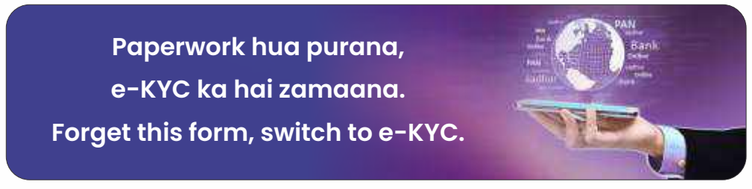
Motilal Oswal Financial Services Ltd

BA / Br Name Complete Address,	PLEASE AFFIX RUBBER STAMP
City, PIN, Mobile Number (Objected form will be returned on this address)	

Select Option of Activation	
Physical	☐
Scan	☐
Reactivation Form	☐

Select Option - ☐ CDSL or ☐ NSDL

Know your client (KYC) Application form (BSE, NSE, CDSL, NSDL, MCX, NCDEX)



"No money / cash to be paid to any of ours Authorised Person. Any funds pay-in / fees / charges are to be paid only by cheque / RTGS in favour of Motilal Oswal Financial Services Ltd. only."

Client Code																
CDSL DP ID	1	2	0	1	0	9										
NSDL DP ID	I	N	3	0	1	8	6	2								

DP Internal Ref. No.

Branch Details

Branch Prefix		Branch Name	

Branch Prefix	Name of the Person	Signature	Date
Data entered by Branches Maker			
Data Rechecked by Branches			
Checker			
Verified by HO			
Authorised by HO			
Approved by HO			
Dispatched by HO			

TRADING/DEMAT ACCOUNT OPENING FORM
NON INDIVIDUAL

VERSION 11 / SEPT 2026

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I Don't Give Tips Only SolidAdvice.



Motilal Oswal Financial Services Limited (MOFSL) * Member of NSE, BSE, MCX, NCDEX CIN No.: L67190MH2005PLC153397

Disclaimer: Registered Office Address: Motilal Oswal Tower, Rahimtullah Sayani Road, Opposite Parel ST Depot, Prabhadevi, Mumbai-400025; Tel No.: 022-71934263; Website www.motilaloswal.com. Correspondence Office Address: Palm Spring Centre, 2nd Floor, Palm Court Complex, New Link Road, Malad (West), Mumbai- 400 064. Tel No: 022 7188 1000.
Registration Nos.: Motilal Oswal Financial Services Limited (MOFSL)*: INZ000158836. BSE/NSE/MCX/NCDEX); CDSL and NSDL: IN-DP--162015; Exchange Member IDs: NSE-10412/BSE-446/MCX-55930/NCDEX-1240.

"Investments in securities market are subject to market risks, read all the related documents carefully before investing."

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One Stop Solution for All your Investment Needs



Motilal Oswal Financial Services Limited (MOFSL) * Member of NSE, BSE, MCX, NCDEX CIN No.: L67190MH2005PLC153397

Registered Office Address: Motilal Oswal Tower, Rahimtullah Sayani Road, Opposite Parel ST Depot, Prabhadevi, Mumbai-400025; Tel No.: 022-71934263; Website www.motilaloswal.com. Correspondence Office Address: Palm Spring Centre, 2nd Floor, Palm Court Complex, New Link Road, Malad (West), Mumbai- 400 064. Tel No: 022 7188 1000. Registration Nos.: Motilal Oswal Wealth Management (MOWM)*: INZ000158836. (BSE/NSE/MCX/NCDEX); CDSL and NSDL: IN-DP--162015; Research Analyst: INH000000412. BSE Enlistment Number: 5028; AMFI Registered Mutual fund Distributor and SIF Distributor: ARN 146822; APMI: APRN00233; Insurance Corporate Agent; CA0579. Motilal Oswal Asset Managemnet Company Ltd. (MOAMC): PMS (Registration No.: INP000000670); PMS and Mutual Funds are offered through MOAMC which is group company of MOFSL. Motilal Wealth Management Ltd. (MOWML): PMS (Registration No INP000004409) is offered through MOWML, which is group company of MOFSL. Motilal Oswal Financial Services Limited is a distributor of Mutual Funds, PMS, Fixed Deposit, Bond, NCDs, Insurance Product, Investment advisor and IPOs etc, These are not Exchange traded products and the Trading Member is just acting as distributor. All disputes with respect to the distribution activity would not have access to Exchange Investor Redressal Forum or Arbitration mechanism. Research & Advisory services is backed by proper research. Please read the Risk Disclosure Document prescribed by the Stock Exchanges carefully before investing. There is no assurance or guarantee of the returns. Details of Compliance Officer: Name: Neeraj Agarwal, Email ID: na@motilaloswal.com, Contact No.: 022-40548085. The securities quoted are exemplary and are not recommendatory. Borkerage will not exceed SEBI prescribed limit. Customer having any query/feedback/clarification may write to query@motilaloswal.com. In case of grievances for Securities Broking write to grievances@motilaloswal.com, for DP to dpgrievances@motilaloswal.com. The securities quoted are exemplary and not recommen.

INDEX OF DOCUMENTS

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
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Provided Through Separate HandBook

Name of stock broker/trading member/clearing member	Motilal Oswal Financial Services Limited	
SEBI Registration No. and date	INZ000158836 (BSE/NSE/MCX/NCDEX) - February 05, 2019	
SEBI Registration number as Research Analyst INH000000412, November 29, 2018		
CDSL and NSDL : IN-DP-16-2015 - February 14, 2019		
NERL: 50144	CCRL : 10055930 - 11-Sep-2018	ComRIS : M1100050 - 06-Mar-2018
Registered Office Address	Motilal Oswal Tower, Rahimtullah Sayani Road, Opposite Parel ST Depot, Prabhadevi, Mumbai-400025. Ph: +91-22-71934200 / 71934263 Fax: +91-22-50362365 Website: www.motilaloswal.com	
Correspondence Office Address	Palm Spring Centre, 2nd Floor, Palm Court Complex, New Link Road, Malad (West), Mumbai - 400 064. Ph: +91-22-71881000 Fax: +91-22-71881333 Website: www.motilaloswal.com	
Name of compliance officer	Mr. Neeraj Agarwal Ph: +91-22-40548085 Email Id: na@motilaloswal.com	
Name of COO	Mr. Ajay Menon Ph: +91-22-40548083 Email Id: am@motilaloswal.com	

Investment in securities market are subject to market risks. Read all the related documents carefully before investing. Registration granted by SEBI and certification from NISM is no way guarantee performance of the intermediary or provide any assurance of returns to investors.

For any grievance / dispute please contact stock broker (Motilal Oswal Financial Services Limited) at the above address or Email id grievances@motilaloswal.com for stock broking related dispute or Dpgrievances@motilaloswal.com for DP related dispute or can speak on Phone No. 91-22-71881000. In case not satisfied with the response, please contact BSE at is@bseindia.com and Phone no. 91-22-22728016 and NSE at ignse@nse.co.in and Phone no. 18002660058 and CDSL at complaints@cdslindia.com and phone No. 1800-200-5533 and NSDL at relations@nsdl.co.in and Phone No. 022-24994200 and MCX at grievance@mcxindia.com and Phone no. 91-22-66494070 and NCDEX at ig@ncdex.com and Phone no. +91-22-66406789.

"**You can also lodge your grievances with SEBI at https://scores.Sebi.gov.in. For any queries, feedback or assistance, please contact SEBI office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575**".

Partnership firm/ Unregistered trust Account

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Documents required **✓ Against the document submitted**

For Partnership firm/unregistered trust (All the documents should be attested by partnership firm/unregistered trust with rubber stamp)

Address Proof(any 1 of the following)

- Registration Certificate ☐
- Telephone/electricity bill in the name of partnership firm/unregistered trust (not more than 2 months old) ☐
- Registered lease/sale agreement (only if client has a correspondence address) ☐

Bank Proof (any 1 of the following)

- Bank account statement/passbook in the name of partnership firm/unregistered trust (not more than 2 months old) ☐
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed) ☐
- Bank verification letter ☐

Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives,currency &commodity segment)

- ITR copy for latest financial year ☐
- Bank a/c statement (not more than 6 months old) ☐
- Demat a/c holding statement (not more than 3 months old) ☐
- Net worth certificate for latest financial year ☐

Mandatory documents(all have to be submitted)

- Partnership/Trust deed attested by all the authorised partners/trustees, investment clause must be mentioned ☐
- Partnership registration certificate ☐
- List of all Partners / Trustees / Beneficiaries / Settlors / Authors of Trust attested by all authorised signatories. Additionally in case of Trust, list of all trustees to be given in specified format. ☐
- Balance sheet of last 2 financial years ☐
- Partnership/Trust resolution attested by all partners/trustees which should consist of name of the partner/trustee authorised to operate the a/c ☐
- KRA documents of all authorised partners / trustees & Authorised signatories ☐
- Beneficial Owner Certificate - In case any of the partners whose share (either of profits or capital) is more than 10% is a body corporate or another artificial person, then the list of ultimate partners / shareholders of the body corporate etc along with their PAN is required. In case of Unregistered Trust, if any of the beneficiaries / /Trustees / Author / Settlor whose share (either of profits or corpus of the trust) is more than 10% is a body corporate or another artificial person, then the list of ultimate shareholders of the body corporate or the sponsors of the trust etc. along with their PAN details. ☐

NOTE: Demat account can be of minimum 1 or maximum 3 holders

Another DP mapping(if submitted)

- Client Master Report/ List in the name of partnership firm/trust(not more than 3 months old) ☐
- DP holding statement/ transaction statement in the name of partnership firm/trust(not more than 3 months old) ☐

For individual partners/trustees(All the documents should be attested by them without rubber stamp)

Photograph of partners/trustees (Compulsory)

Address proof (any 1 of the following):

Passport ☐ NREGA Job Card ☐ Driving license ☐ National Population Register Letter ☐

Voter ID ☐ E-KYC Authentication ☐ Offline verification of Aadhaar ☐ Aadhar ☐

Registered lease/sale agreement (only if client has a correspondence address) ☐

***IPV/Documents verified with originals' stamp is required on all the documents.**

Important Notes

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

Registered Trust Account

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Documents required **✓ Against the document submitted**

For Registered Trust(All the documents should be attested by registered trust with rubber stamp)

NOTE:Trust has to be registered under Societies Registeration Act/ Indian Trust Act 1882/Public Trust Act, 1860 / Bombay Public Trust Act 1950/ Public Trust Act of Relevant State or Section 12AA of Income Tax act,1961.

Address Proof (any 1 of the following):

- Registration Certificate ☐
- Telephone/electricity bill in the name of trust (not more than 2 months old) ☐
- Registered lease/sale agreement (only if client has a correspondence address) ☐

Bank Proof (any 1 of the following):

- Bank account statement/passbook in the name of trust (not more than 2 months old) ☐
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed) ☐
- Bank verification letter ☐

Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives,currency &commodity segment)

- ITR copy for latest financial year ☐
- Bank a/c statement (not more than 6 months old) ☐
- Demat a/c holding statement (not more than 3 months old) ☐
- Net worth certificate for latest financial year ☐

Mandatory Documents (all have to be submitted)

- Trust deed attested by all the authorised trustees, investment clause must be mentioned ☐
- Trust registeration certificate ☐
- List of all trustees / Beneficiaries / Settlors / Authors of Trust attested by authorised signatories. Further list of all trustees to be given in specified format. ☐
- Balance sheet of last 2 years ☐
- Trust resolution attested by all the trustees. Should mention the: ☐
  1. Date & place of passing 2.Mode of operation - jointly or severally
  3. Name of the person authorised to operate the a/c.
- KRA documents of trustees & Authorised signatories ☐
- Beneficial Owner Certificate - In case of Trust, if any of the beneficiaries / Trustees / Author / Settlor whose share (either of profits or corpus of the trust) is more than 10% is a body corporate or another artificial person, then the list of ultimate shareholders of the body corporate or the sponsors of the trust etc. along with their PAN details. ☐

Another DP mapping(if submitted)

- Client Master Report/ List in the name of trust (not more than 3 months old) ☐
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old) ☐

For individual trustees(All the documents should be attested by them without rubber stamp)

Photograph of trustees (Compulsory)

Address Proof (any 1 of the following):

Passport ☐ NREGA Job Card ☐ Driving license ☐ National Population Register Letter ☐

Voter ID ☐ E-KYC Authentication ☐ Offline verification of Aadhaar ☐ Aadhar ☐

Registered lease/sale agreement (only if client has a correspondence address) ☐

***IPV/Documents verified with originals' stamp is required on all the documents.**

Important Notes

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

LLP Account

Documents required **✓ Against the document submitted**

For partnership firm(All the documents should be attested by LLP with rubber stamp)

Address Proof (any 1 of the following):

- Registration Certificate / Certificate of in Corporation ☐
- Telephone/electricity bill in the name of partnership firm (not more than 2 months old) ☐
- Registered lease/sale agreement (only if client has a correspondence address) ☐

Bank Proof (any 1 of the following):

- Bank account statement/passbook in the name of trust (not more than 2 months old) ☐
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed) ☐
- Bank verification letter ☐

Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives,currency &commodity segment)

- ITR copy for latest financial year ☐
- Bank a/c statement (not more than 6 months old) ☐
- Demat a/c holding statement (not more than 3 months old) ☐
- Net worth certificate for latest financial year ☐

Mandatory documents (all have to be submitted)

- LLP deed attested by all the authorised partners, investment clause must be mentioned ☐
- LLP registeration certificate ☐
- List of all LLP Partners & names of person holding senior management position should be attested by authorised signatory ☐
- Balance sheet of last 2 financial years ☐
- Board resolution attested by all the partners.It should have: ☐
  1. Date & place of passing
  2. Mode of operation - jointly or severally
  3. Name of the person authorised by board to operate the a/c
- Beneficial Owner Certificate- If any of the share holders is a company holding more than 10% of shares then its 'Share Holding Pattern has to be provided alongwith Beneficiary Owner Certificate of Individual shareholder once he/she is identified. If an individual has more than 10% share, then his/her PAN details are required. ☐

Another DP mapping (if submitted)

- Client Master Report/ List in the name of trust (not more than 3 months old) ☐
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old) ☐

For individual partners(All the documents should be attested by them without rubber stamp)

Photograph of partners (Compulsory)

Address Proof(any 1 of the following):

Passport ☐ NREGA Job Card ☐ Driving license ☐ National Population Register Letter ☐

Voter ID ☐ E-KYC Authentication ☐ Offline verification of Aadhaar ☐ Aadhar ☐

Registered lease/sale agreement (only if client has a correspondence address) ☐

***IPV/Documents verified with originals' stamp is required on all the documents.**

Important Notes

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

Association of Persons Account

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Documents required **✓ Against the document submitted**

For AOP (All the documents should be attested by AOP with rubber stamp)

Address Proof(any 1 of the following):

- Telephone/electricity bill in the name of partnership firm (not more than 2 months old) ☐
- Registered lease/sale agreement (only if client has a correspondence address) ☐

Bank Proof (any 1 of the following):

- Bank account statement/passbook in the name of trust (not more than 2 months old) ☐
- Cheque leaf(client name,a/c no., MICR & IFSC should be printed) ☐
- Bank verification letter ☐

Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives,currency &commodity segment)

- ITR copy for latest financial year ☐
- Bank a/c statement (not more than 6 months old) ☐
- Demat a/c holding statement (not more than 3 months old) ☐
- Net worth certificate for latest financial year ☐

Mandatory documents (all have to be submitted)

- Agreement of AOP attested by all the authorised signatories, investment clause must be mentioned ☐
- List of members of AOP attested by authorised signatories ☐
- Balance sheet of last 2 financial years ☐
- AOP resolution attested by all the members ☐
- KRA page of all authorised AOP members ☐

NOTE: Demat account can be of minimum 1 or maximum 3 holders

Another DP mapping (if submitted)

- Client Master Report/ List in the name of trust (not more than 3 months old) ☐
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old) ☐

For individual AOP members(All the documents should be attested by them without rubber stamp)

Photograph of AOP members (Compulsory)
Address Proof(any 1 of the following):

Passport ☐ NREGA Job Card ☐ Driving license ☐ National Population Register Letter ☐
Voter ID ☐ E-KYC Authentication ☐ Offline verification of Aadhaar ☐ Aadhar ☐
Registered lease/sale agreement (only if client has a correspondence address) ☐

***IPV/Documents verified with originals' stamp is required on all the documents.**

Important Notes

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

Society Account

Documents required **✓ Against the document submitted**

For Society (All the documents should be attested by society with rubber stamp)

Address Proof (any 1 of the following):

- Registration Certificate ☐
- Telephone/electricity bill in the name of partnership firm (not more than 2 months old) ☐
- Registered lease/sale agreement (only if client has a correspondence address) ☐

Bank Proof (any 1 of the following):

- Bank account statement/passbook in the name of trust (not more than 2 months old) ☐
- Cheque leaf(client name,a/c no. , MICR & IFSC should be printed) ☐
- Bank verification letter ☐

Income Proof (any 1 of the following, to be submitted only if client has opted for derivatives,currency &commodity segment)

- ITR copy for latest financial year ☐
- Bank a/c statement (not more than 6 months old) ☐
- Demat a/c holding statement (not more than 3 months old) ☐
- Net worth certificate for latest financial year ☐

Mandatory documents (all have to be submitted)

- Bye laws of society attested by all the authorised signatories, investment clause must be mentioned ☐
- Society registeration certificate ☐
- List of committee members attested by authorised signatory ☐
- Balance sheet of last 2 financial years ☐
- Society resolution attested by all the committee members.It should have: ☐
  1.Date & place of passing
  2.Name of person authorised to operate the a/c ☐
- Require KRA of all the committee members

NOTE: Demat account can be of minimum 1 or maximum 3 holders

Another DP mapping (if submitted)

- Client Master Report/ List in the name of trust (not more than 3 months old) ☐
- DP holding statement/ transaction statement in the name of trust (not more than 3 months old) ☐

For committee members (All the documents should be attested by them without rubber stamp)

Photograph of committee members (Compulsory)

Address Proof (any 1 of the following):

Passport ☐ NREGA Job Card ☐ Driving license ☐ National Population Register Letter ☐
Voter ID ☐ E-KYC Authentication ☐ Offline verification of Aadhaar ☐ Aadhar ☐
Registered lease/sale agreement (only if client has a correspondence address) ☐

***IPV/Documents verified with originals' stamp is required on all the documents.**

Important Notes

1. Requirements are as per CDSL, NSDL, CVL, CERSAI and SEBI guidelines
2. Activation is the date, when documents are received at the HEAD OFFICE FOR VERIFICATION.
3. Income Proof is mandatory to deal in Non-Cash Segments

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'CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instruction at the end.
I) 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)

☐ 1. ENTITY DETAILS* (Please refer instruction **A** at the end)

☐ Name*

Entity Constitution Type* Other (Specify) (Please refer instruction A at the end)

Date of Incorporation/ Formation* D D — M M — Y Y Y Y Date of Commencement of Business* D D — M M — Y Y Y Y

Place of Incorporation/ Formation* Country of Incorporation/ Formation* TIN or Equivalent Issuing Country

PAN* ☒ Form 60 fumished

TIN / GST Registration Number

☐ 2. PROOF OF IDENTITY (PoI)* (Please refer instruction **B** at the end)

☐ Officially valid document(s) in respect of person authorised to transact
☐ Certificate of Incorporation / Formation ☐ Registration Certificate Regn. Certificate No. (e.g.CIN)
☐ Memorandum and Articles of Association ☐ Partnership Deed ☐ Trust Deed
☐ Resolution of Board / Managing Committee ☐ Power of attorney granted to its manager, officers or employees to transact on its behalf
☐ Activity Proof - 1 (For Sole Proprietorship Only) ☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ 3. ADDRESS* (Please refer instruction **C** at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address * ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document Please Specify
☐ Latest Telephone Bill (Only Landline) ☐ Latest Electricity Bill ☐ Latest Bank A/c Statement
☐ Registered Lease / Sale Agreement of office premises

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

3.2 Local Address in India / Correspondence Address (If different from above)*

Proof of Address * ☐ Certificate of Incorporation / Formation ☐ Registration Certificate ☐ Other Document Please Specify
☐ Latest Telephone Bill (Only Landline) ☐ Latest Electricity Bill ☐ Latest Bank A/c Statement
☐ Registered Lease / Sale Agreement of office premises

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

☐ 4. CONTACT DETAILS (All communications will be sent Mobile number / Email-ID provided" may be used) (Please refer instruction D at the end)

Tel. (Off) — FAX —
Mobile — Email ID
Mobile — Email ID

☐ 5. NUMBER OF RELATED PERSONS (Please refer instruction E at the end)

☐ 6. REMARKS (If any)

7. 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 : D D — M M — Y Y Y Y Place :

[Signature / Thumb Impression]

1/20

Signature / Thumb Impression of Authorised Person

8. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

IPV Done ☐ Date D D – M M – Y Y Y Y

Name of the Organization	PLEASE AFFIX RUBBER STAMP & SIGN
NSE / BSE / MCX / NCDEX - AP Registration Number	
Person name doing IPV / docs / PAN verification	
Designation / MOFSL Employee code	
Date of IPV / Document Verification	
Date of PAN Verification with IT Site	
Signature of the Person	

INSTITUTION DETAILS

Name Motilal Oswal Financial Services Ltd

CERSAI Code I N 0 2 6 9

CVL KRA Code 1 1 0 0 0 1 0 9 0 0

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Legal Entity / Other than Individual KYC Application Form

A. Clarification / Guidelines for filling Entity Details section

1 Entity Constitution Type

~~A - Sole Proprietorship~~ (Not Applicable for Trading & Demat Account))
B - Partnership Firm
C - HUF
D - Private Limited Company
E - Public Limited Company
F - Society
G - Association of Persons (AOP) / Body of Individuals (BOI)
H - Trust
I - Liquidator
J - Limited Liability Partnership
K - Artificial Liability Partnership
L - Public Sector Bank
M - Central/State Government Department or Agency
N - Section 8 Companies (Companies Act 2013)
O - Artificial Juridical Person
P - International Organization or Agency / Foreign Embassy or Consular Office etc.
Q - Not Categorized
R - Others
S - Foreign Portfolio Investeors

2 In case of companies and partnerships, PAN of the entity is mandatory. In case of other entitites, FORM 60 may be obtained if PAN is not available.

B Clarification / Guidelines for filling 'Proof of Identity[Pol]' section

1. Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instructions issued by the Reserve Bank of India in this regard.
2 Please refer to the relevant instructions issued by the regulator regarding applicable documents for the legal entity.
3 Certified copy of document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as specified by the concerned regulator from time to time.

C Clarification / Guidelines for filling 'Proof of Address [PoA]' section

1 State/U.T Code and Pin / Post Code will not be mandatory for Oversease addresses.
2 Certified copy of documents or equivalent e-document to be submitted.

D Clarification / Guidelines for 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.

Note 1) : For State code & Country code kindly visit www.motilaloswal.com | download option.
Note 2) : If address of principal place of business is different than Registered Office address, Customer is required to give details of address of principal place of business also.

MOFSL INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all 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/PIOCard/OCICard 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 amin or, 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/by 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. 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 Governmentand by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
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.

C. 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.

D. Incae os Non Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below

Types of entity	Documentary Requirements
Corporate	a. Certificate of incorporation. b. Memorandum and Articles of Association. c. Board Resolution for investment in securities market. d. Power of Attorney granted to its managers, officers or employees, as the case may be, to transact on its behalf. e. Authorised signatories list with specimen signatures. f. Copy of the balance sheet for the last financial year (initially for the last two financial years and subsequently for every last financial year). g. Latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/whole time director/ MD (to be submitted every year). h. Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. I. Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
Partnership Firm	a. Certificate of registration (for registered partnership firms only). b. Copy of partnership deed. c. Copy of the balance sheet for the last financial year (initially for the last two financial years and subsequently for every last financial year). d. Authorised signatories list with specimen signatures. e. Photograph, POI, POA, PAN of Partners.
Trust	a. Certificate of registration (for registered trust only). b. Copy of Trust deed. c. Copy of the balance sheet for the last financial year (initially for the last two financial years and subsequently for every last financial year). d. List of trustees certified by managing trustees/CA. e. Photograph, POI, POA, PAN of Trustees.
HUF	a. Deed of declaration of HUF/ List of coparceners. b. Bank pass-book/bank statement in the name of HUF. c. Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of individuals	a. Proof of Existence/Constitution document. b. Resolution of the managing body & Power of Attorney granted to transact business on its behalf. c. Authorized signatories list with specimen signatures.
Banks / Institutional investors	a. Copy of the constitution/registration or annual report/balance sheet for last financial year (initially for the last two financial years and subsequently for every last financial year). b. Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	a. Copy of SEBI registration certificate b. Authorized signatories list with specimen signatures.
Army / Government Bodies	a. Self-certification on letterhead. b. Authorized signatories list with specimen signatures.
Registered Society	a. Copy of Registration Certificate under Societies Registration Act. b. List of Managing Committee members. c. Committee resolution for persons authorised to act as authorised signatories with specimen signatures. d. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

CKYC Data Download Consent Request

Dear Sir/Madam,

I, _____Name of the Customer_____ 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.

Client's Signature	**2/20**
Client Name	

UNDERTAKING CUM DECLARATION
(Mandatory only for clients activated in Currency Segment)

Date: _____

To,
Motilal Oswal Financial Services Limited
Palm Spring Centre,
2nd Floor, Palm Court Complex,
New Link Road, Malad (West),
Mumbai 400064

Client Code with MOFSL: _____

Sub: Currency Derivative Exposure

Dear Sir/Madam,

For the purpose of dealing in Currency Derivatives Contracts for INR paired contracts, I hereby confirm that I will always abide by the RBI / Exchange guidelines, as and when issued. I understand some of the guidelines are as under. Further I will go through related RBI circulars and will remain updated on any related development.

1. I/We shall have valid underlying exposure which shall not hedged using any another derivative contract.
2. I/We shall present the documentary proof for same in case of any clarification required.
3. I/We are aware that all positions in all contracts involving INR, across all the Recognized Stock Exchanges put together, are backed by contracted exposure which is not hedged elsewhere.
4. I/We understand that the notional amount and tenor of the derivative contract should not exceed the value and tenor of the exposure.
5. I/We are aware that in case the exposure ceases to exist, in full or in part, the user has appropriately adjusted the hedge to ensure adherence to point 4 above, unless the original derivative contract is assigned against any other unhedged exposure. No adjustment to the hedge is required to be made if, in the considered opinion of the Authorised Dealer, the change in exposure is not material.
6. I/We are aware that if I/We intend to take position beyond USD 100 million (or equivalent) in contracts involving INR, in all Stock Exchanges put together, then an Authorised Dealer / Custodian needs to be designated who shall monitor the transactions.
7. I/We shall always adhere to regulatory provisions, circulars, Rules, Regulations & Guidelines issued by SEBI, RBI & Exchanges from time to time.
8. I/We declare that the information submitted by me/us is true to the facts submitted by me/us and I/We shall be held responsible in case of any breach / incorrect information found.

Accordingly, on the basis of above undertaking, I/We request MOFSL to allow transactions in currency segment in INR paired contracts against my/our permitted underlying Exposure. Further, I understand that, MOFSL can take actions based on its various Risk and Surveillance parameters which I agree to.

Client's Signature	**3/20**
Client Name	

Voluntary Document

APPLICATION TO TRADE IN SLBM SEGMENT

Motilal Oswal Financial Services Ltd.

2nd Floor, Palm Spring Centre, Palm Court Complex,
New Link Road, Malad (West), Mumbai - 400 064

Sir,

Sub: Application to trade in SLBM Segment of the NSE & BSE Ref:

Client Code: _____

PAN No. _____

I / We am / have applied for registration with you as a client for execution of trades from time to time in Cash / Capital Market / Derivatives Market of Bombay Stock Exchange Ltd. (BSE) / National Stock Exchange Ltd. (NSE) (hereinbefore and after referred to as "the Stock Exchanges")

I / We wish to also commence / apply for trading in SLBM segment of the Exchange for which I / We am / are providing authorization as follows:

- I / We confirm that I / We have not been debarred by SEBI / Exchanges / Other Regulatory authorities for trading in Cash / Capital / Derivatives / Securities Markets and no action has been initiated against me /us.
- I / We confirm that I / we have received 'Rights and Obligations' document(s) related to SLBM segment and I / we confirm that I/ we have read and understood the content of the same and I / We do hereby agree to be bound by such provisions as outlined in these documents.
- I/We have been explained the tariff structure and brokerage charges. MOFSL will levy processing fees up to 20% of the Transaction Rate / lending and borrowing fee (as may be called). In addition to the processing fees / brokerage, SLB transaction shall also attract regulatory and statutory charges / tax at the rates as applicable from time to time.
- I/We understand that my Client Code will remain the same & all trades in SLBM Segment will be done using my/our PAN No.
- I / We understand that the Know Your Client (KYC) and all other related documents where ever applicable, executed at the time of registering me/us as a client under the above client code, applies mutatis mutandis to trade in SLBM segment in all Stock Exchanges also.
- I/We are made aware that in case of closure of my/our trading code with MOFSL, SLBM account will also be closed and the same will not get activated in future with different client code opened if any.

Yours Sincerely,

Client's Signature	**4/20**
Client Name	

Date:_____ Place:_____

OTHER DETAILS

Gross Annual Income Details And Net-worth in `.	(Please tick (✓) : ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25 Lac - 1 Crore ☐ >1 Crore (*Net worth should not be older than 1 year) as on (date) D D M M Y Y Y Y
Occupation	(Please tick (✓) any one and give brief details) : ☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Other source of Income (Please specify)_____
PEP	☐ Politically Exposed Person ☐ Related to a Politically Exposed Person ☐ Not a Politically Exposed Person (PEP) ☐ Not related to a Politically Exposed Person (PEP) For definition of PEP, please refer guideline relating to Instructions/Checklist for filling KYC form

Is the entity involved / providing any of the following services	☐ Yes	☐ No
- For Foreign Exchange / Money Changer Services	☐ Yes	☐ No
- Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates)	☐ Yes	☐ No
- Money Lending / Pawning	☐ Yes	☐ No

BANK ACCOUNT(S) DETAILS OF SOLE / FIRST HOLDER

Bank Name	
Branch Name	
Branch Address	
Bank A/c No.	
A/c Type	☐ Savings ☐ Current ☐ NRI/NRE/NRO ☐ Others _____
MICR Number	IFSC Code
Internet Banking status	☐ Enabled ☐ Not Enabled Currency: Rs. (Mandatory for E-Broking)
Proof of Bank submitted	☐ Bank Statement# ☐ Cancelled Cheque (with client name and A/c no. printed) ☐ Bank Passbook## ☐ Bank Verification Letter (original)

P. N.: In case of NRI's, Bank Account should be Repatrible Bank Account for NRE or Non Repatrible Bank Account for NRO.

DEPOSITORY ACCOUNT(S) DETAILS (if existing)

Depository Participant Name	
Depository Name:	☐ CDSL ☐ NSDL ☐ NERL ☐ COMRIS ☐ CCRL
DP ID CDSL	Beneficiary ID (BO ID)
DP ID NSDL	Beneficiary ID (BO ID)
DP ID NERL	Beneficiary ID (BO ID)
DP ID COMRIS	Beneficiary ID (BO ID)
DP ID CCRL	Beneficiary ID (BO ID)
Beneficiary Name	
Second Holders Name	
Third Holders Name	
Proof of DP submitted	☐ DP Statement ☐ Client Master Report (CMR)

1) Clients name & DP A/c No. on the proof of DP submitted should match with that mentioned in the account opening form.
2) DP statement should clearly show DP ID & Client ID.
3) In case of NRI's, proof of Demat Account should be only with NRI status.

TRADING PREFERENCE

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

All Exchanges	NSE & BSE			
All Segments	Cash / Mutual Fund	F&O	Currency	Debt
5/20				

If, you do not wish to trade on any Exchanges and any of its segments / Mutual Fund, Please mention here _____

TRADING PREFERENCE FOR COMMODITY SEGMENT
Commodity-Futures/Options/Options on Commodity futures / Derivatives

Please sign in the relevant Exchanges where you wish to trade. Please strike off the Exchange not chosen by you.

MCX	NCDEX	BSE	NSE
6/20	7/20	8/20	9/20

ADDITIONAL DETAILS

Facilities For Trading	Whether you wish to avail the facility of ☐ Internet trading ☐ Wireless technology (Mobile Trading)
Contract Note and Standard Documents Communication Mode :	Whether you wish ☐ in Electronic Form (Email id same as mentioned on KRA Page)
	to receive ☐ in Physical Form
Investment/Trading Experience	☐ Years in Stocks ☐ Years in Derivatives ☐ Years In Commodities ☐ Years in Other investment related fields ☐ No Prior Experience
Primary purpose of dealing	In Equities: ☐ Intraday ☐ Positional ☐ Investment
	In Derivatives: ☐ Trading ☐ Hedging ☐ Investment
Educational Qualification	☐ Under Graduate ☐ Graduate ☐ Post Graduate ☐ Professional ☐
Any other information	☐ ☐ ☐ ☐ ☐

GST DETAILS

GST Number	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
GST Implementation Location	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐
GST Validity Date	☐☐☐☐☐☐☐☐

PAST ACTIONS

Details of any action/proceedings initiated/pending/taken by FMC/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:

INFORMATION IN RELATION TO THE PREVENTION OF MONEY LAUNDERING ACT, 2002

Funds Detail	Do you intend to invest in the stock/commodity market with : ☐ Own Funds ☐ Borrowed Funds
	Is the Entity Non Profit Origination ☐ Yes ☐ No
	If Yes, furnish Registration details with Darpan Portal of Niti Aayog_____

DEALINGS THROUGH OTHER STOCK BROKERS

If you are dealing with any other stock / commodity broker / Authorised Person, provide the following details:
(in case dealing with multiple stock / commodity brokers / Authorised Person, provide details of all)

Name of stock/commodity broker		Client Code	
Name of Authorised Person		Exchange	
	Details of disputes/dues pending from/to such stock broker/Authorised Person		

DEALINGS THROUGH REGISTERED AUTHORISED PERSON

If you are dealing through MOFSL Authorised Person, provide the following details:

SEBI / Exchange Registration No.			
's / AP Name			
Registered office			
Address			
Contact Details : Website			
Phone No.		Fax No.	

INTRODUCER DETAILS (optional)

Name of the Introducer	FIRST MIDDLE LAST		
Address			
Status of the Introducer	☐ Remisier ☐ Authorised Person ☐ Existing Client ☐ Others		
Signature of the Introducer		Phone No.:	

DECLARATION

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

Signature & Stamp	10/20		
Name	1st Authorised Signatory	2nd Authorised Signatory	3rd Authorised Signatory

Place Date

DECLARATION BY PARTNERSHIP FIRM / UNREGISTERED TRUST

Please refer to the trading account opened in the above name with Motilal Oswal Financial Services Ltd.

We acknowledge that a beneficiary account (DP Account) cannot be opened with a Depository Participant in the name and style of a partnership firm / unregistered trust as per regulations. In order to facilitate the smooth operations of the above trading account for the purpose of completing the share transfer obligations, pursuant to the trading operations, we hereby authorise Motilal Oswal Financial Services Limited to recognize the beneficiary account no_____with above mentioned depository having opened in the name of joint holders mentioned above who are the partners / trustees of the firm for the settlement of the obligations in relation for securities for trades done on Exchanges.

Further we acknowledge that we being partners of the above mentioned firm are responsible for the liabilities thereof. We shall advise you in writing for any change that take place in the constitution of the firm at any time in future.

Signature	P/1		
Name	1st holder	2nd holder	3rd holder

Place ☐☐☐☐☐☐☐☐☐☐ Date ☐☐☐☐☐☐☐☐

IN CASE OF FIRMS, ASSOCIATION OF PERSONS, PARTNERSHIP FIRM, UNREGISTERED TRUST Please fill the below details

TYPE OF ACCOUNT (Please ✓ whichever is applicable)

Status	☐ CM ☐ Banks ☐ Mutual Fund ☐ Trust ☐ FII ☐ FI ☐ Foreign Corporate - QFI (MF) ☐ Clearing House ☐ OCB ☐ Other_____
Sub-Status (To be filled by Modes)	☐☐
Registration Details	☐ ROC ☐ SEBI ☐ RBI ☐ Other Govt. Authority
RBI Registration No.	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Approval Date ☐☐☐☐☐☐☐☐
SEBI Registration No.	☐☐☐☐☐☐☐☐☐☐☐☐☐☐☐ Registration Date ☐☐☐☐☐☐☐☐
Nationality	☐ Indian ☐ Other _____

Running Account Authorization (Voluntary)

Authorization to maintain running account	☐ Yes ☐ No
If Yes, Settlement of Funds	☐ Monthly ☐ Quarterly

(For detailed terms and conditions relating to Running Account Authorization, kindly refer Voluntary Document.)

KYC Consent for Third Party

I/We hereby provide consent to share my KYC information with third party product providers. ☐ Yes ☐ No

(For detailed Terms and conditions relating to sharing of KYC information, kindly refer Voluntary Document)

Client Categorisation

*P*ls select ( ) on the below appropriate category depending upon your proposed nature of your activity against each product type.

Commercial - ☐	**Non Commercial -** ☐
Product type	Product type
Bullion - ☐	Bullion - ☐
Base Metals - ☐	Base Metals - ☐
Energy - ☐	Energy - ☐
Agri-Commodities - ☐	Agri-Commodities - ☐

1. COMMERCIAL: Commercial Client includes Value Chain/ Physical market participant/ exporter/ importer/ having direct/ indirect Exposure to the underlying Commodity
2. NON-COMMERCIAL: Non Commercial Client includes Trader/ Arbitrageur

CLIENT CATEGORISATION - COMMODITY WISE

The Customer is required to select appropriate category depending upon their proposed nature of activity against each commodity type. Please fill "COMMODITY CLIENT CATEGORISATION" declaration given below:

I / We further confirm that in case of any change in this categorisation, I / we shall update the same with MOFSL and I / We understand that you may be required to disclose the same to Exchanges.

Contract / Commodity	FARMER / FARMER PRODUCER ORGANIATION (FPO)	Value chain participants (VCPs) / Hedger	Others	Domestic financial institutional investors	Foreign participants
AGRIDEX					
ALMOND					
ALUMINIUM					
BAJRA					
BARLEY					
BRASS					
CARDAMOM					
CASTOR SEED					
CHANA					
COPPER					
CORIANDER/ DHANIYA					
COTTON					
COTTONSEEDOILCAKEAKOLA					
CPO - CRUDE_PALM_OIL					
CRUDE OIL					
GOLD					
GUARGUM					
GUARSEED					
GUAREX					
GUMSYOIL					
GUR					
HIPROSOYBEANMEAL					
JEERA					
KAPAS					
LEAD					
MAIZE					
MCXBULLDEX					
MCXMETLDEX					
MENTHA OIL					
MOONG					
NATURAL GAS					
NICKEL					
PADDY_BASMATI					
PEPPER					
RAPE_MUSTARD_SEEDS					
RBDPMOLEIN					
RUBBER					
SESAMESEED					
SILVER					
SOY_OIL					
SOYABEAN					
SOYDEX					
STEEL					
SUFIBLT					
SUGARM					
TURMERIC					
WHEATKOTA					
ZINC					
ENERGY INDEX FUTURES					

Yours faithfully,

Client's Signature	**11/20**
Client Name	

ONLY FOR NEW CDSL DEMAT ACCOUNT (All Holders should be major i.e. more than 18 years of age)

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

Name *		PAN

(* 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.)

Holders Details

Sole / First Holder's Name		PAN AADHAR No UCC Exchange Name & ID_____
Second Holder's Name		PAN AADHAR NO.
Third Holder's Name		PAN AADHAR NO.

DP FACILITIES

A/c Statement Requirement ☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly

I / We instruct the DP to receive each and every credit in my / our account ☐ Yes ☐ No

(If not marked, the default option would be `Yes')

To Register for ea*si*, please visit website www.cdslindia.com ☐ Yes ☐ No

MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)

☐ Jointly ☐ Anyone of the Holder

Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder.

☐ First Holder	☐ All Holder	Email id
	☐ Second Holder	
	☐ Third Holder	
Easi	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	

I/We request you to send Electronic Transaction cum holding Statement at the Email ID..... ☐ Yes ☐ No

I/We wish to receive dividend / interest directly in to my bank account given below through ECS? ☐ Yes ☐ No

(If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]

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

(If not marked, the default option would be "No")

I/ We would like to share the email id with the RTA. ☐ Yes ☐ No

I/ We would like to receive the Annual Report : ☐ Physical ☐ Electronic ☐ Both physical and Electronic

You will be receiving Consolidated Account Statement (CAS) in Electronic form, if you wish to receive CAS in Physical form or do not wish to receive the same, kindly contact your DP

(Tick the applicable box, if not marked the default option would be in physical)

Clearing Member Details (To be filled by CMs only)

Name of Stock Exchange			
Name of CC/ CH			
Clearing Member ID		Trading Member ID :	
SMS Alert Facility (Refer Terms and conditions Annexure- 2.4	Mobile No. same as mentioned on KRA Page (Mandatory, if you are giving Power Of Attorney (POA) / DDPI (If POA / DDPI is not granted & you do not wish to avail of this facility, cancel this option)		

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL

Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO o n best effort basis as per these terms and conditions.

Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remai n within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non -individual accounts the service will be available, only to one mobile number i.e. t o the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the aler ts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off" mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during s uch period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non -delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the d epository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert .

8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non -availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonab le efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representa tion of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts f acility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to u nauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceed ings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pa y fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

BOID | | | | | | | | | | | | | | | | |

(Please write your 8 digit DP ID) (Please write your 8 digit Client ID)

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent (AS PER CKYC PAGE)

The mobile number is registered in the name of:_____

Email ID: (AS PER CKYC PAGE)

	First/Sole Holder	Second Holder	Third Holder
* Name			
* Signature	12/20		

Place: _____ Date: _____

Option for Issue of DIS Booklet

I/We hereby state that

☐ **Option 1 :** I / We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my / our CDSL account though I / we have issued a DDPI/registered for eDIS/executed PMS agreement in favour of/with_____ _____(name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Or

☐ **Option 2 :** I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a DDPI/registered for eDIS/executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my/our request at any later date.

DECLARATION

I/We have received and read the Rights and Obligations (DP-CM agreement for BSE Clearing Member Accounts) including the schedule thereto and the terms & conditions 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 to the best of my/our knowledge as on the date of making this application. 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.

		Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Sign to be use for cropping	Name			
	Designation			
	Signature & Stamp	13/20		

Note: "In case of Partnership or Unregistered trust account do not affix firm stamp"

The Demat Account will be operated by ☐ Any one Singly ☐ Jointly by any two ☐ All ☐ Other _____

Place ☐☐☐☐☐☐☐☐☐☐ Date ☐☐☐☐☐☐☐☐

Motilal Oswal Financial Services Limited
Corr. Address : Palm Spring Centre, 2nd Floor,
Link Road, Malad (West), Mumbai 400064
Tel: +91 022 30801000/101
NSDL : **IN-DP-NSDL-152-2000 - 24-July-2000**

NSDL

ACCOUNT OPENING FORM
(NON-INDIVIDUALS)

motilal oswal
think wealth creation

1

APPLICATION FORM FOR OPENING A DEPOSITORY ACCOUNT

Participant Name - Motilal Oswal Financial Services Limited Address - Palm Spring Centre, 2nd Floor, Link Road, Malad (West), Mumbai 400064 DP - ID - IN301862	**Client - ID** (To be filled by Participant)

We request you to open a depository account in our name as per the following details:
(Please fill all the details in CAPITAL LETTERS only)

Date D D M M Y Y Y Y

A) Details of Account holder(s):

	Name	PAN
Sole/ First Holder		
Second Holder		
Third Holder		

B) Type of account

- ☐ Body Corporate
- ☐ Qualified Foreign Investor
- ☐ Bank
- ☐ FI
- ☐ Mutual Fund
- ☐ CM
- ☐ FII
- ☐ Trust
- ☐ HUF
- ☐ Other (Please specify) _____
- ☐ AoP for holding the permitted Securities

C) For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:

a) Name | b) PAN

D) Income Details (please specify)

Income Range per annum		Networth
Below ₹ 20 Lac	and	Amount (₹)_____
₹ 20 - 50 Lac		As on (date) D D M M Y Y Y Y
₹ 50 Lac - 1 crore		
Above ₹ 1 crore		

E) In case of FIIs/Others (as may be applicable)

RBI Approval Reference Number	
RBI Approval date	D D M M Y Y Y Y
SEBI Registration Number (for FIIs)	

E) Bank details

1	Bank account type	☐ Savings Account	☐ Current Account	☐ Others (Please specify)_____	
2	Bank Account Number				
3	Bank Name				
4	Branch Address				
		City/town/ village		PIN Code	
		State		Country	

	5	MICR Code	
	6	IFSC	

G)	Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:	☐ Politically Exposed Person (PEP) ☐ Related to a Politically Exposed Person (PEP)

H)	**Clearing Member Details** (to be filled up by Clearing Members only)		
	1	Name of Stock Exchange	
	2	Name of Clearing Corporation/ Clearing House	
	3	Clearing Member ID	
	4	SEBI Registration Number	
	5	Trade Name	
	6	CM-BP-ID **(to be filled up by Participant)**	

I)	**Standing Instructions**		
	1	We authorise you to receive credits automatically into our account.	☐ Yes ☐ No
	2	Account to be operated through Power of Attorney (PoA)	☐ Yes ☐ No
	3	Account to be operated through Demat Debit and Pledge Instruction (DDPI)	☐ Yes ☐ No
	4	**SMS Alert facility**	
	5	Mode of receiving Statement of Account [Tick any one]	☐ Physical Form ☐ Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form].

Sr. No.	**Holder**	**Yes**	**No**
1	Sole/First Holder	☐	☐
2	Second Holder	☐	☐
3	Third Holder	☐	☐

J) **List of family members (Separate Annexure maybe used in case number of members is higher)**

Sr No.	**Name of Coparcener/Member**	**Gender**	**Date of Birth**	**Relation with Karta**	**Whether Coparcener/ Member (please specify)**

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF details of Karta to be given) 3

Sole/First Holder	Name	Signature(s)
First Signatory/Karta of HUF		
Second Signatory		
Third Signatory		
Other Holders		
Second Holder		
Third Holder		

Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF this is not applicable)	
☐ Any one singly	
☐ Jointly by	
☐ As per resolution	
☐ Others (please specify)	

Notes:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
   I. Client must ensure the confidentiality of the password of the email account.
   II. Client must promptly inform the Participant if the email address has changed.
   III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

Option for Issue of DIS Booklet

I/We hereby state that

☐ **Option 1 :** I / We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my / our NSDL account though I / we have issued a DDPI/registered for eDIS/executed PMS agreement in favour of/with_____ (name of the attorney/Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney holder -Clearing Member / by PMS manager/ for executing delivery instructions through eDIS.

Or

☐ **Option 2 :** I / We do not require the Delivery Instruction Slip (DIS) booklet for the time being, since I/We have issued a DDPI/registered for eDIS/executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member/PMS manager) for executing delivery instructions for settling stock exchange trades [settlement related transactions] effected through such Power of Attorney Holder - Clearing Member/by PMS manager or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my/our request at any later date.

DECLARATION

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

(Additional declaration applicable only for AoPs for opening of demat accounts in the name of Association of Persons (AoP) itself for holding the permitted Securities)

1. I/we confirm that the AoP holds only such securities in dematerialized form as permitted by the statutes governing its constitution.
2. I/we confirm that the demat account is not be used for subscribing / holding other than the permitted securities.

		Sole/First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Sign to be use for cropping	Name			
	Designation			
	Signature & Stamp	14/20		

The Demat Account will be operated by ☐ Any one Singly ☐ Jointly by any two ☐ All ☐ Other _____

Place ☐☐☐☐☐☐☐☐☐☐ Date ☐☐☐☐☐☐☐☐

ONLY FOR PARTNERSHIP FIRM / UNREGISTERED TRUST
(DP Account will be opened in the name of any Partner / Trustee)

CERTIFIED TRUE COPY of the following documents are required to be submitted, duly signed by AUTHORISED PARTNERS/ TRUSTEES of the Firm/ Trust along with Rubber Stamp of Firm/ Trust.

1. Partnership Deed / Trust Deed (containing the clause that the entity can trade & invest in shares & securities)
2. Certificate of Registration with Registrar of Firms.
3. Audited Balance Sheet for last 2 financial years. In case of Newly Formed Firm, provide Networth Certificate duly signed by **C.A.**
4. List of all Partners (on the letterhead of the Firm in the format mentioned below).

Name	PAN	Residential Address	Photograph	Profit Share	Whether Managing Partner/Sitting Partner $

4a. List of all Trustees (on the letterhead of the Trust in the format mentioned below).

Name	PAN	Residential Address	Constitution (Individual / Corporate / LLP/ HUF/ Partnership Firm)	Occupation (Salaried / Government Servant / Professional / Business)	Residential Status (Resident / Non Resident)	Nationality	PEP / RPEP	Signature

Self Certified copy of the **PROOF OF IDENTITY & ADDRESS PROOF** of all the Partners / Trustees.

5. List of all Authorised Signatories (on the Letterhead of the Firm in the format mentioned below).

To,
Motilal Oswal Financial Services Ltd.
Dear Sir,

The Firm / Trust is authorised to invest in Securities / Commodities markets and is also authorised to invest in commodity derivatives / commodity futures & options / options on commodity futures on commodity Exchanges & want to open trading, demat account with Motilal Oswal Financial Services Ltd (MOFSL), members of (NSE, BSE, MCX, NCDEX, CDSL, NSDL, NERL, ComRIS & CCRL).

Motilal Oswal Financial Services is hereby authorised to open demat account in name of below mentioned partner / trustee. Following partners / trustees / authorised signatories are hereby authorised to sign, execute and submit such applications, undertakings, agreements, DP instructions and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account.

The following partners / trustees are authorised to give instructions to sell, purchase, transfer, endorse, negotiate and / or otherwise deal in securities and / or derivatives segment, on behalf of the firm / trust.

The Details and Specimen Signatures of authorised partners / trustees are given below:

Name of Authorised Signatories	Designation	PAN	Aadhar No.	Residential Address	Specimen Signature	Photograph signed across

*Please provide Self Certified copy of the PROOF OF IDENTITY & ADDRESS PROOF of all the Authorised Signatories
Please note that for Partnership Firm/Unregistered Trust the details of Partners/Trustees should be given in KYC forms enclosed here with.
In order to identify the persons Beneficially Owning or Controlling the Securities Account as per SEBI guidelines we require following additional information:

6. Incase any of the partners whose share (either of profits or capital) is more than 10% is a body corporate or another artificial person, then the list of ultimate shareholders of the body corporate etc.

7.
- Incase any of the beneficiaries / Trustees / Author / Settlor whose share (either of profits or corpus of the trust) is more than 10% is a body corporate or another artificial person, then the list of ultimate shareholders of the body corporate or the sponsors of the trust etc.
- Incase all Partners of Partnership Firm / Beneficiaries / Trustees / Author / Settlor / of Trust are individuals than no CA certificate is required to identify Beneficial Owner. The list of beneficial owner shall be given in below format by the Partnership Firm/Trust on its letter head duly certified by Managing Partners*$

8. CA certificate to be provided for identification of Beneficial Owners

FORMAT FOR CA CERTIFICATE

For the purpose of identification of Beneficial Owner, I / We have followed prevailing SEBI Circular and PMLA guidelines which defines the beneficial owner as the natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement."
From information/documents submitted it holds out that the below mentioned persons are Beneficially Owning or Controlling the Securities Account of _____ (name of client)

Sr. No.	Name	Address	PEP / RPEP		PAN of Beneficial Owner
			☐	☐	
			☐	☐	
			☐	☐	

'*': All the information has to be provided on the letterhead of the partnership firm/trust and duly signed by the managing partners
'$': The client agrees to notify MOFSL of any significant change in the above information immediately. Incase the revised information is not provided to MOFSL, MOFSL reserves the right to suspend operations in the account, till such updated information is made available to MOFSL.

ONLY FOR REGISTERED TRUST / SOCIETY / LLP (DP Account will be opened in the name of Trust / Society / LLP)

CERTIFIED TRUE COPY of the following documents are required to be submitted, duly signed by AUTHORISED SIGNATORIES of the Trust / Society along with Rubber Stamp of Trust / Society

1. **Trust Deed / Society Rules & Bye Laws,** certified by managing trustees/specimen signatures. Trust deed / Society Rules should contain the clause that the entity can trade & invest in shares & securities
2. Certificate of Registration under The Indian Trust Act, 1882 or Societies Registration Act, 1860. Incase if the trust is set up as a charitable trust, additional certificate of registration from the Income Tax department is also required.
3. Certificate of Registration/Incorpation of LLP.
4. **Audited Balance Sheet** for last 2 financial years.In case of Newly Formed Trust / Society/LLP, provide Networth Certificate duly signed by C.A.
5. **List of All Beneficiaries / Settlors / Authors / Managing Committee Members / Partners of the LLP** (on the letterhead of the Trust/Society/LLP in the format mentioned below).

Name of Authorised Signatories	Designation	PAN	Aadhar No.	Residential Address	SpecimenSignature	Photograph signed across

5a. List of all Trustees (on the letterhead of the Trust in the format mentioned below).

Name	PAN	Residential Address	Constitution (Individual / Corporate / LLP/ HUF/ Partnership Firm)	Occupation (Salaried / Government Servant / Professional / Business)	Residential Status (Resident / Non Resident)	Nationality	PEP / RPEP	Signature

*Please provide the Self Certified Copy of the **PROOF OF IDENTITY and ADDRESS PROOF** of all Trustees/Managing Committee Members.

6. RESOLUTION FOR AUTHORISED SIGNATORIES (on the letterhead of the Trust/Society/LLP in the format mentioned below).

In order to identify the persons Beneficially Owning or Controlling the Securities Account as per SEBI guidelines, we require following additional information:

7. Name of the sponsor and PAN. Incase if the sponsor is a corporate entity or other artificial person, then list of ultimate holders of the body corporate. * $ (Required for Registered & Unregistered Trust)
   - List of beneficiaries / Trustees / Author / Settlor / Member having more than 10% Beneficial Interest/Profit Share or corpus in the Trust / Society. List of Beneficiaries not required in case of Charitable Trust. (Required for Registered & Unregistered Trust)
   - In case of LLP & AOP, any of the Partners / Individual whose share (either of Profits or Capital or Property) is more than 10% & 15% respectively is a body Corporate or another artificial person, then list of ultimate Partners / shareholders / beneficiaries along with their PAN* details.
   - Incase all sponsors / beneficiaries / Settlors / Authors of Trust / Managing Committee Members of Society / Partners of LLP are individuals than no CA certificate is required to identify Beneficial Owner. The list of beneficial owner shall be given in below format by the Trust / Society / LLP on its letter head duly certified by Managing Official / Trustee / Managing Partner*$
8. CA certificate to be provided for identification of Beneficial Owners

FORMAT FOR CA CERTIFICATE

For the purpose of identification of Beneficial Owner, I / We have followed prevailing SEBI Circular and PMLA guidelines, which defines the beneficial owner as the natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted, and includes a person who exercises ultimate effective control over a legal person or arrangement."

From information/documents submitted it holds out that the below mentioned persons are Beneficially Owning or Controlling the Securities Account of _____ (name of client)

Sr. No.	Name	Address	PEP / RPEP		PAN of Beneficial Owner
			☐	☐	
			☐	☐	
			☐	☐	

'*': All the information has to be provided on the letterhead of the Trust/ AoP/LLP and duly signed by the managing official/ trustee/managing partner

'$': The client agrees to notify MOFSL of any significant change in the above information immediately. Incase the revised information is not provided to MOFSL, MOFSL reserves the right to suspend operations in the account, till such updated information is made available to MOFSL.

Format of Resolution

CERTIFIED TRUE COPY OF THE RESOLUTION PASSED AT THE MEETING OF THE TRUSTEES / MANAGING COMMITTEE OF _____AT THEIR MEETING HELD ON _____AT _____(address)

RESOLVED THAT the Trust / Society/LLP is authorisied for investment in securities/commodities market.

Resolved that the Trust / Societ / LLP is authorized to invest in commodity derivatives / commodity futures & options / options on commodity futures on commodity Exchanges.

RESOLVED THAT the Trust / Society / LLP be registered as a client and open a Trading and Demat Account with Motilal Oswal Financial Services Limited (MOFSL), Member of the National Stock Exchange of India Ltd. (NSE), the Bombay Stock Exchange Ltd. (BSE), Multi Commodity Exchange of India (MCX), the National Commodity & Derivative Exchange Limited (NCDEX) and a Depository Participant with National Securities Depositories Ltd. (NSDL) and Central Depository Service (India) Ltd. (CDSL) and NERL Participant, ComRIS Participant & CCRL Participant for the purpose of dealing in securities/commodities at BSE, NSE, MCX, NCDEX, CDSL, NSDL, NERL, ComRIS & CCRL on any segment.

RESOVLED FURTHER THAT Motilal Oswal Financial Services Limited be and is hereby authorised to honor instruction given on the behalf of the Trust / Society by any of the of the under noted Authorised Signatories who is / are authorised to sell, purchase, Transfer, endorse, negotiate documents and / or otherwise deal in securities and / or derivatives through

Name of Authorised Signatories	Designation	PAN	Aadhar No.	Residential Address	SpecimenSignature	Photograph signed across

RESOLVED FURTHER THAT the above signatories are hereby authorised to sign, execute and submit such applications, undertakings, agreements, DP instructions and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this resolution.

RESOVLED FURTHER THAT, the common seal Trust / Society be affixed, wherever necessary, in the presence of any Trustees / Chairman or Secretary, who shall sign the same in the token of their presence.

Signature & Stamp of the Trust/Society/LLP	**T/1**

*Please provide the Self Certified Copy of the **PROOF OF IDENTITY and ADDRESS PROOF** of all the Authorised Signatories.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) KYC number of applicant is mandatory for update application.
I) 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)

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

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available only 'Related Person Type '&' Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☒ Form 60 furnished ☐ PEP ☐ RPEP

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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

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

☐ **PHOTO***

Please affix the recent passport size photograph and sign across it

Address

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

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

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

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

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

Address

Line 1*

Line 2*

Line 3* City / Town / Village*

District* Pin / Post Code* *State / U.T Code* ISO 3166 Country Code*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Email ID

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

Date : D D — M M — Y Y Y Y Place:

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

IPV Done ☐ Date D D — M M — Y Y Y Y

Name of the Organization	PLEASE AFFIX RUBBER STAMP & SIGN
NSE / BSE / MCX / NCDEX - AP Registration Number	
Person name doing IPV / docs / PAN verification	
Designation / MOFSL Employee code	
Date of IPV / Document Verification	
Date of PAN Verification with IT Site	
Signature of the Person	

INSTITUTION DETAILS

Name Motilal Oswal Financial Services Ltd

CERSAI Code I N 0 2 6 9

CVL KRA Code 1 1 0 0 0 1 0 9 0 0

Note : If in case of multiple related persons kindly download the form from www.motilaloswal.com & fill the same & sumbit to MOFSL.

CENTRAL KYC REGISTRY | Instructions / Checklist / Guidelines for filling Related Person details

E Clarification / Guidelines for filling 'Related Person Details' section

1 Personal Details
- The name should match the name as mentioned in the Proof of identity submitted failing which the application is liable to be rejected.

2 Proof of Address [PoA]
- PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not is force.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR.
- REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central identities Data Repository.

3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.

4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

F Provision for capturing signature of multiple authoried persons is to be made by the RE.

Note : For State code & Country code kindly visit www.motilaloswal.com | download option.

MOFSL Notes : PEP : Politically Exposed person
RPEP : Related to Politically Exposed person

In case Non Individual Entity is HUF, Details of Karta as well as all coparceners has to be filled in Related Persons details. If any of the Coparcener / Family member is minor, in such case Guardian can sign the Related Person Form after furnishing additional information. Kindly refer separate Related Person Form in case of Minor Coparcener.

MOFSL INSTRUCTIONS / CHECKLIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all 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/PIOCard/OCICard 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 withprominent public functions in/by 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. Exemptions/clarifications to PAN
(*Sufficient documentary evidence in support of such claims to be collected.)

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

C. 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.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) KYC number of applicant is mandatory for update application.
I) 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)

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

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available only 'Related Person Type '&' Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☒ Form 60 furnished ☐ PEP ☐ RPEP

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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

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

☐ PHOTO*

Please affix the recent passport size photograph and sign across it

Address

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

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

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

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

☐ A- Passport Number
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II ☐ E-KYC Authentication
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IV ☒ Deemed PoA
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Address

Line 1*

Line 2*

Line 3* City / Town / Village*

District* Pin / Post Code* *State / U.T Code* ISO 3166 Country Code*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Email ID

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

Date : D D — M M — Y Y Y Y Place:

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

IPV Done Date D D — M M — Y Y Y Y

Name of the Organization	PLEASE AFFIX RUBBER STAMP & SIGN
NSE / BSE / MCX / NCDEX - AP Registration Number	
Person name doing IPV / docs / PAN verification	
Designation / MOFSL Employee code	
Date of IPV / Document Verification	
Date of PAN Verification with IT Site	
Signature of the Person	

INSTITUTION DETAILS

Name Motilal Oswal Financial Services Ltd

CERSAI Code I N 0 2 6 9

CVL KRA Code 1 1 0 0 0 1 0 9 0 0

Note : If in case of multiple related persons kindly download the form from www.motilaloswal.com & fill the same & sumbit to MOFSL.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) KYC number of applicant is mandatory for update application.
I) 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)

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

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available only 'Related Person Type '&' Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☒ Form 60 furnished ☐ PEP ☐ RPEP

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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☐ F - Proof of Possession of Aadhaar
II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhaar

☐ **PHOTO***

Please affix the recent passport size photograph and sign across it

Address

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

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III ☐ Offline verification of Aadhaar
IV ☒ Deemed PoA
V ☒ Self Declaration

Address

Line 1*

Line 2*

Line 3* City / Town / Village*

District* Pin / Post Code* *State / U.T Code* ISO 3166 Country Code*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Email ID

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

Date : D D — M M — Y Y Y Y Place:

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification
☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

IPV Done Date D D — M M — Y Y Y Y

Name of the Organization	PLEASE AFFIX RUBBER STAMP & SIGN
NSE / BSE / MCX / NCDEX - AP Registration Number	
Person name doing IPV / docs / PAN verification	
Designation / MOFSL Employee code	
Date of IPV / Document Verification	
Date of PAN Verification with IT Site	
Signature of the Person	

INSTITUTION DETAILS

Name Motilal Oswal Financial Services Ltd

CERSAI Code I N 0 2 6 9

CVL KRA Code 1 1 0 0 0 1 0 9 0 0

Note : If in case of multiple related persons kindly download the form from www.motilaloswal.com & fill the same & sumbit to MOFSL.

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person (Minor)

Important Instructions:

A) Fields marked with '*' are mandatory fields.
B) Tick '✓' wherever applicable.
C) Please fill the date in DD-MM-YYYY format.
D) Please fill the form in English and in BLOCK letters.
E) KYC number of applicant is mandatory for update application.
F) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) KYC number of applicant is mandatory for update application.
I) 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)

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

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available only 'Related Person Type '&' Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor ☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director identification Number) (Mandatory if Related Person Type is Director)

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)				
Maiden Name				
Father / Spouse Name				
Mother Name				

Date of Birth* D D – M M – Y Y Y Y

Gender* ☐ M- Male ☐ F- Female ☐ T-Transgender

Nationality* ☐ IN- Indian ☐ Others (ISO 3166 Country Code ☐☐)

PAN* ☒ Form 60 furnished ☐ PEP ☐ RPEP

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☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
II ☐ E-KYC Authentication
III ☐ Offline verification of Aadhaar

☐ **PHOTO***

Please affix the recent passport size photograph and sign across it

Address

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

1.3. CURRENT ADDRESS DETAILS (Please refer instruction E and the end)

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

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IV ☒ Deemed PoA
V ☒ Self Declaration

Address

Line 1*

Line 2*

Line 3* City / Town / Village*

District* Pin / Post Code* *State / U.T Code* ISO 3166 Country Code*

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no. / Email-ID) (Please refer instruction D at the end)

Tel. (Off) - Tel. (Res) - Mobile -

Email ID

Guardian Details

Name of the Guardian

Address

Relationship with Minor

Email

Mobile No.

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 unture or misleading or misrepresenting, I am aware that I may be held liable for it.
- I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number / email address.

Date : D D — M M — Y Y Y Y Place:

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC process ☐ Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

IPV Done ☐ Date D D — M M — Y Y Y Y

Name of the Organization	PLEASE AFFIX RUBBER STAMP & SIGN
NSE / BSE / MCX / NCDEX - AP Registration Number	
Person name doing IPV / docs / PAN verification	
Designation / MOFSL Employee code	
Date of IPV / Document Verification	
Date of PAN Verification with IT Site	
Signature of the Person	

INSTITUTION DETAILS

Name Motilal Oswal Financial Services Ltd

CERSAI Code I N 0 2 6 9

CVL KRA Code 1 1 0 0 0 1 0 9 0 0

Note : If in case of multiple related persons kindly download the form from www.motilaloswal.com & fill the same & sumbit to MOFSL.

Motilal Oswal Financial Services Ltd. DP TARIFF SHEET					
Scheme Particulars	☐TRX17 TRX Scheme	☐TRX5YR17 5 Year TRX Scheme	☐AMC17 AMC Scheme	☐LIFETIME19 AMC Scheme	☐AMC19 AMC Scheme
Trx Charges towards shares sold Within MOFSL	Rs. 35 or 0.035% (whichever is higher)	Rs. 20/- or 0.025% (Whichever is higher)	NIL	Rs. 20/-	Rs. 30 or 0.03% (whichever is higher)
Off market Transfer within MOFSL	Rs. 40 or 0.040% (whichever is higher)	Rs. 30 or 0.040% (whichever is higher)	Rs. 30 or 0.030% (whichever is higher)	Rs. 40/-	Rs. 40 or 0.04% (whichever is higher)
Off market Transfer outside MOFSL	Rs. 40 or 0.040% (whichever is higher)	Rs. 40 or 0.040% (whichever is higher)	Rs. 40 or 0.040% (whichever is higher)	Rs. 40/- or 0.040% (whichever is higher)	Rs. 40 or 0.04% (whichever is higher)

Common Tariff applicable to all Scheme	
Dematerialisation	Rs.100/- per request +Rs.50/- per certificate
Rematerialisation	Rs.35/- per certificate or per 100 shares and part there of which ever is higer and Rs.25/- per Restate of Statement of Account/Redemption
Pledge/ Unpledge/ Closure/Invocation	Rs.35/- per Pledge Instruction

1. Except for the month of April, an amount of Rs. 250/- (non adjustable / Non refundable) will be charged for each scheme change request. The new scheme will be applicable from the day on which the scheme is changed without adjustment of previous bills.
2. The first year, AAC and AMC will be charged on pro rata basis from the month of account opening. Subsequently, it will be charged anually in the month of April for next financial year. For Corporate Accounts additional Rs.500/- P.A. will be charged towards CDSL/NSDL AMC** in all the scheme.
3. In case the account is closed during the year, AMC for the remaining quarter ending upto December will be refunded to the client. However, AAC charges will not be refunded.
4. Margin Pledge/CUSPA Pledge/Unpledge/Confiscate charges – Upto Rs 25/- Per ISIN. Any securities transfer from CUSPA Account w.r.t trades executed by the client will be subject to applicable transaction charges as mentioned in tariff.
5. Stamp Duty on off market transactions where consideration is involved will be levied as applicable from time to time.
6. Rs. 100/- will be charged to client for new DIS book.
7. Rs. 50/- will be charged toward per Demat / Remat rejection case.
8. Upto Rs. 30/- per Inter Settlement pool to pool charges for pay out shares received in MOFSL POOL account will be charged.
9. Rates are subject to revision from CDSL /NSDL. DP reserves the right to ammend the tariff at any given point of time. Goods and Service Tax (GST) will be charged extra as per regulation.
10. There is a facility to avail Annual Report of the Company in Electronic form by submitting email id & opt for the same. You may register your email id in RTA / Company records also by opting for the same. To avail these facilities, you are requested to contact your Branch.
11. Rs. 40/- will be charged in case a client opts for physical contract note or in case electronic contract note mail is bounced and physical contract note is to be sent by MOFSL.

(Tariff to be continued….)

EQUITIES & DERIVATIVES TARIFF SHEET

BROKERAGE FOR TRADING ACCOUNT

Transaction Type	Equity Cash			Equity F&O			Currency			Debt		
	Intraday (First leg)	Intraday (Second leg)*	Delivery	Futures (First Leg)	Futures (Second leg)*	Options	Futures (First Leg)	Futures (Second leg)*	Options	Intraday (First leg)	Intraday (Second leg)*	Delivery
Table No.												
Brokerage Rate (%)												
Min. Brokerage (Rs.)												
OR Value Pack scheme	Amount			Validity		Months						

MUTUAL FUND TARIFF SHEET

Asset Class (Type)	Liquid	STP	Bond, Debt, Gilt, Hybrid, MIP	Balanced, Equity, Equity(G), Equity(S), FOF
Brokerage Rate	0.05%	0.10%	0.15%	0.50%
OR				
Table No.				
Brokerage Rate (%)				
Min. Brokerage (Rs.)				

Terms and Conditions

Second leg - if squared off on the same day*

- Account Opening charges (Including KRA charges) for Trading Account is Rs. 1000/-

- SEBI Turnover Fees, STT, Goods and Service Tax (GST), Stamp Duty, &Transaction Charges will be levied separately from brokerage as applicable from time to time.

"There will be a broking AMC of Rs.299/- will be applicable. The broking AMC will be free for first year from date of activation." Administrative charges upto Rs. 3000/- is applicable on annual basis.

Please note that brokerage will be charged at the highest value, which will be derived after considering following criteria:

• Brokerage slab (as mentioned in above Tariff Sheet) • Brokerage per each executed order upto Rs. 50/- per segment.

(Above criteria are subject to maximum rate(s) as prescribed by the regulator(s) from time to time)

The above shall be read in conjunction with paragraph on "Applicable Brokerage rates" as mentioned in Policies &Procedures.

You may check the prevailing brokerage rate applicable to you through your secured client login. You can access to Client login by keying your UCID/ Client code and password through website www.motilaloswal.com. Details of your Secured login will be given in welcome letter send to you upon activation of your account with MOFSL.

Other Charges :	Cash Segment – Maximum of 0.02% on Transaction Value Futures Segment – Maximum of 0.006% on Transaction value Options Segment – Maximum of 0.06% on Transaction Value CDS Futures Segment – Maximum of 0.006% on Transaction value CDS Option segment – Maximum of 0.06% on Transaction Value

1. Other Charges represents a consolidated charge towards providing various value added services such as Trade confirmation SMS, Electronic Account Access, Portfolio Tracker, access to research reports, Market News SMS etc..
2. In case of option contracts, other charges shall be charged on transaction value calculated as Premium into Qty executed.

In addition to above, charges levied on account of Cheque Return, Wrong reporting of Cheques, DP Scheme Charges for DIS Re - Issuance, Issue of Duplicate Statements, Interest Charges etc. may be recovered from your account.

Complete details are made available in your secured Client login. You can access to Client login by keying your UCID/ Client code and password through website www.motilaloswal.com.

MOFSL reserves the rights to change the brokerage as well as other tariff from time to time under intimation to client.

(Tariff to be continued….)

(Tariff continued….)

COMMODITY TARIFF SHEET

"MCX, BSE & NSE"	Brokerage	Charge on	Table No.
Futures %		☐ One Side ☐ Both Side	
Options (Rs. Per Lot)		☐ One Side ☐ Both Side	
Delivery %			

NCDEX	Brokerage	Charge on	Table No.
Futures %		☐ One Side ☐ Both Side	
Options (Rs. Per Lot)		☐ One Side ☐ Both Side	
Delivery %			

- SEBI Turnover Fees, CTT, Goods & Service Tax (GST), Stamp Duty, Transaction Charges and other statutory charges will be levied separately from brokerage as applicable from time to time.
- Delivery related charges i.e. Delivery Charges, Warehouse Charges, Vault Charges etc. will be levied separately as per guidelines.
- All Charges levied by Exchange(s) / Regulator(s) will be recovered from your account as applicable.
- In addition to above, Charges levied on account of Cheque Return, Wrong Reporting of Cheque, Issue of Duplicate Statements, Interest Charges etc. may be recovered from your account as applicable.

Please note that in Commodity Derivative Segment brokerage will be charged at the highest value, which will be derived after considering following criteria:

• Brokerage slab (as mentioned in above Tariff Sheet)

• For Commodity derivative trades, brokerage up to Rs. 50 for each executed order

(Above criteria are subject to maximum rate(s) as prescribed by the regulator(s) from time to time)

The above shall be read in conjunction with paragraph on "Applicable Brokerage rates" as mentioned in Policies &Procedures.

You may check the prevailing brokerage rate applicable to you through your secured client login. You can access to Client login by keying your UCID / Client code and password through website www.motilaloswal.com. Details of your Secured login will be given in welcome letter send to you upon activation of your account with MOFSL.

MOFSL reserves the rights to change the Brokerage as well as other tariff from time to time under intimation to client. You may check the prevailing brokerage rate applicable to you through your secured client login.

Complete Details of above charges are made available in your secured client login.

You can access to Client login by Keying your UCID / Client Code and password through our website: www.motilaloswal.com. Details of your secured login will be given in Welcome Letter / email send to you upon activation of your account with MOFSL.

Signed for and on behalf of	1st Holder Signature	2nd Holder Signature	3rd Holder Signature
Signature	**15/20**		

VOLUNTARY DOCUMENT

Demat Debit and Pledge Instruction (DDPI) Authorisation

Date:

To,
Motilal Oswal Financial Services Limited

Dear Sir/Madam,

Sub: Demat Debit and Pledge Instruction (DDPI) Authorisation

CDSL - 1 2 0 1 0 9 | **NSDL -** I N 3 0 1 8 6 2

I/We, hereby explicitly agree and give consent to authorize **Motilal Oswal Financial Services Limited (MOFSL)**, to access Beneficial Owner (BO) Account as per details given above for following purposes: Accordingly, I/We hereby, authorize MOFSL to do the following:

S.No.	Purpose	Signature of First Holder	Signature of Second Holder	Signature of Third Holder
1	Transfer of securities held in the beneficial owner accounts of mine / us (clients) towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by me / us (clients) on the Stock Exchange through Motilal Oswal Financial Services Limited	Signature	Signature	Signature
2	Pledging / re-pledging of securities in favour of Motilal Oswal Financial Services Limited / Clearing Member (CM) / Clearing Corporations (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by me/us (the clients) on the Stock Exchange.	Signature	Signature	Signature
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	Signature	Signature	Signature
4	Tendering shares in open offers through Stock Exchange platforms	Signature	Signature	Signature

Kindly further note that I/we am/are entitled to revoke this authorisation at any time, after sending the revocation letter at your correspondence office to enable you to make necessary changes. I/We hereby confirm that such revocation shall not affect my/our obligations outstanding at the time of such revocation and the authority granted hereunder shall continue until all transactions and instructions already executed or issued towards MOFSL have been settled.

The demat account details of MOFSL/Clearing Members/Clearing Corporations/Exchanges, where client shares / commodities can be transferred / Pledged / Repledged for above purpose is mentioned in **Schedule - 1**

*The same may be e-signed or signed physically.

Clauses mentioned in DDPI document shall be valid from the date as specified by Regulator from time to time.

Schedule - 1

The demat account details of MOFSL/Clearing Members/Clearing Corporations/Exchanges, where client shares / commodities can be transferred / Pledged / Repledged for above purpose is mentioned below:

For Securities:

Demat Account Number	Account Type
1201090016192023	MOFSL - TM/CM – Client Securities Margin Pledge Account (CMPA)
IN30186210004894	MOFSL - TM/CM – Client Securities Margin Pledge Account (CMPA)
1201090037295463	MOFSL - TM/CM – Client Securities Margin Pledge Account (CMPA)
IN30186210031759	MOFSL-TM/CM – Client Securities Margin Pledge Account (CMPA)
IN302978 10597336	MOFSL - TM/CM – Client Securities Margin Pledge Account (CMPA)
1201090016192019	MOFSL - Client Securities Margin Funding Account (CMFA)
IN30186210004909	MOFSL - Client Securities Margin Funding Account (CMFA)
1100001000024341	ICCL Pledge / Repledge Account
IN00115010000053	ICCL Pledge / Repledge Account
1100001100020926	NCL Pledge / Repledge Account
IN00100210009132	NCL Pledge / Repledge Account
1201090037254857	CLIENT NODAL MFOS ACCOUNT
IN30186210025212	CLIENT NODAL MFOS ACCOUNT

For Commodities :

Demat Account Number	Account Type
100559300000027	CCRL Pool Account
M110005010000017	Comris Pool Account
100559300000050	CCRL Pool Account
100559300000068	CCRL Pool Account
100559300000076	CCRL Pool Account
2BNF00000027167	NERL Client Collateral Account

Demat Account Number	Account Type
12010900 37205769	Clients Unpaid Securities Pledge Account (CUSPA)
IN301862 10018684	Clients Unpaid Securities Pledge Account (CUSPA)
1100001000012619	Early Payin Account
1100001100015975	Early Payin Account
1100002300001416	Early Payin Account
1201090000000116	Pool Account
1201090000003024	Pool Account
IN30186210000006	Pool Account
IN30186210000022	Pool Account
1201090034931491	Pool Account

For Commodities :

Demat Account Number	Account Type
IN00118410000012	MCXCCL Pledge / Repledge Account
1100002200000211	MCXCCL Pledge / Repledge Account
IN00117610000029	NCCL Pledge / Repledge Account
1100002100002645	NCCL Pledge / Repledge Account
M110005010000146	MOFSL – TM/CM – Client Securities Margin Pledge Account (CMPA)
M110005010000147	MOFSL – TM/CM – Client Securities Margin Pledge Account (CMPA)

VOLUNTARY CLAUSES (TERMS AND CONDITIONS) ANNEXURE A

In addition to the 'Rights and obligations' document, the Client and MOFSL have agreed to the following voluntary terms and conditions contained in this Annexure A to ensure smooth functioning of the operations in the course of trading/investing in securities by the Client through MOFSL.

1. The Client is informed that Motilal Oswal Financial Services Limited do carry Proprietary trading.
2. The Client agrees that he / she / it has been made aware / read, understood and accept the prevailing RMS Policy / all other policies / procedures / information / instructions of MOFSL and further shall keep himself/herself / itself, updated of any future RMS policy, all other policies / procedures / information / instructions that may be issued from time to time from the broker. The Client shall also access the RMS Policy, all other policies / procedures/information/instructions from the MOFSL Website from time to time. MOFSL may send any necessary communications to the client on their registered email address MOFSL may modify the terms or any additional terms that to reflect changes to the law or changes to our policies / procedures etc. The client should look at the terms regularly. The client should access his/her account regularly. Changes addressing new functions for policies / procedures will be reflected in clients account login id and will be effective from the date of such change which are made for legal reasons & and will be effective immediately.
3. The Client hereby agrees and understands that in case of any noncompliance and /or default by the Client such as cheque bouncing, client code modification, margin shortage, UCC violation, price rigging or for any other matters as may be decided by MOFSL from time to time, without prejudice to MOFSL's other rights, MOFSL may levy charges/penalty(ies) on the client and debit such charges / penalty(ies) in the client account which has been imposed by Regulatory Authorities. Margin shortfall penalty as well as any other penalty levied by Exchange(s) / Regulators shall be recovered from the client as per prevailing regulatory guidelines from time to time.
4. The Client agrees that MOFSL will not be responsible for partial execution of orders placed by the Client. The Client also agrees that all orders placed by him shall be treated as orders for that particular session only. In case the Client wants the orders to be carried forward or extended for the day or for more number of days he shall communicate the same to MOFSL.
5. Suspension/deactivation of trading activities for Non-payment of amounts due from the Client including margin money. The Client is aware that the Client is required to make full payment to MOFSL for the execution of the contract on the day of execution of trade. The Client explicitly agrees and authorizes MOFSL to suspend/deactivate his/her accounts for non payment of the above stated dues and such other amounts as may be due from the Client from time to time with prior notice or under intimation to the client.
6. Digitally signed Contract Notes / Statement of Accounts / Client Registration Documents: The Client hereby agrees and permits MOFSL to provide digitally signed contract notes through internet (web-based) and agrees as under:
   (i) The client agrees to receive from MOFSL the ledgers, transaction statements, bills or other Statement(s), related notices, circulars, amendments and such other correspondence, documents and records which may be sent by MOFSL from time to time electronically in lieu of the physical mode. The client further authorizes MOFSL to send the executed copy of Client Registration form to his e-mail Id, The client can also download the copy through the secured access provided by MOFSL using his client specific user id and password.
   (ii) The client hereby acknowledges that all the documents as above sent by MOFSL through e-mail will be considered as having delivered to him once the email leaves MOFSL e-mail server unless the same is rejected by client e-mail server and bounced mail notification is not received by MOFSL. The client further agrees that in the absence of communication from him regarding non receipt of documents through email or notification of any discrepancy with in reasonable time from the date of issuance of Digital Contract Note through email, MOFSL may construe that there is deemed acknowledgement of the document(s) sent to client electronically.
   (iii) The Client shall access the contract notes/ confirmations of the trades executed on his/her/their behalf on the trade date electronically. The Client understands that it is his/her/their responsibility to review all confirmations, contract notes, statements, notices and other communications including but not limited to margin and maintenance calls etc. All the information contained therein shall be binding on the client, if the client does not objects either in writing or via eletronic mail within reasonable time from the date of execution of the trade.
7. Acknowledgement for account opening charges :
   (i) The client agrees that the charges towards account opening for equity/commodity trading if any, would be debited to the ledger account of the client after opening of account. The entry reflected in the ledger account of the client would be sufficient acknowledgement of the receipt of account opening charges. The client agrees and understands that no separate receipt will be issued in this regard.
   (ii) For the convenience of payment of all the charges, pertaining to my demat account, the Client agrees to debit his trading account with all the DP account charges, as and when the bill is raised by MOFSL (Depository Participant). MOFSL may charge penalty on non-payment of DP account charges. Such penalty amount shall be directly debited to the account of Client.
8. Trade Confirmation to client
   (i) The Client is informed that he/she/they shall update their mobile numbers / email IDs with MOFSL (i.e. Stock Broker / Depository Participant). This will facilitate them to receive information of their transactions ,all debits directly from the Exchange(s) / Depositories on their mobile / email at the end of the day.
   (ii) The client authorizes MOFSL to send Trade Confirmations / Margin calls at the mobile number of the client mentioned in the Client Registration Documents. The client shall provide valid mobile number to the MOFSL which shall be incorporated in the client registration documents. During the currency of the voluntary clauses such mobile number shall be functional. It shall be duty of the client to ensure that the mobile number provided in the client registration documents is correct and in operation and/ or in working condition at all the time. In case the client has provided and /or incorporated different mobile number in the KYC, MOFSL may send notice/communication on any of the mobile number, at its discretion. The notice /information /communication through SMS sent to the client shall be deemed to have been received by the client and MOFSL shall not be under any obligation to confirm the authenticity of the person (s) receiving the SMS.
   (iii) MOFSL at its discretion shall also send Trade Confirmations /Margin calls through SMS at the mobile number provided by the client. The SMS Service may be discontinued for a specified period/indefinite period with or without any prior notice for any reason whatsoever. Such clients who have availed SMS service facility of payment basis agrees that

MOFSL may discontinue SMS service with prior intimation with proper reasoning.

(iv) MOFSL shall not be liable or responsible for any statement received from frauds or impostors or any consequences thereof.

(v) The client authorizes Exchanges to send SMS & e-mail alerts to his Mobile No. and e-mail id registered with MOFSL.

(vi) The Client authorised MOFSL to send trades and accounts related information and also consolidated summary of scripwise/ commodity-wise buy and sell positions taken with average rates by way of SMS / email on a regular basis.

9. Payment of Margins:

(I) For the purpose of the voluntary clauses the term "Dues of client" shall include the amount of monies payable by the client including but not limited to, the purchase price of the Securities, Brokerage, Margin money, Goods and Service Tax (GST), Turnover Tax, Auction Debit and Charges, Service Charge, Securities / Commodities Transaction Tax, Stamp duty, DP charges, penalties, interest on delayed payment, transaction charges, KRA charges, cheque bounce charges, penalties for non-compliances, shortfall in margins etc. that may be levied from time to time in the clients accounts as per Regulatory norms. Penalties Levied by Exchange(s) / Regulators shall be recovered from the client on actuals, by debiting the client account since it is the liability of investor discharged by MOFSL on his/her behalf.

(ii) All payment for securities/commodities bought shall be made out by way of Cheque/ fund transfer in favour of "Motilal Oswal Financial Services Ltd." At the time of settlement of dues of the Client, MOFSL shall draw an account payee cheque /fund transfer in favour of the Client which may be payable to a specified bank account of the Client. The Client agrees to make such fund transfer from the bank account, the details of which are provided by the Client to MOFSL in the Client Registration Form or in any other documents. The Client understands that MOFSL shall execute the orders only after the proceeds of the Margin account are realized and credited to the Bank account of MOFSL. Any payment made by the Client in the form of the account payee cheque shall be considered as Funds only upon the realization of the same.

(iii) The Client hereby agrees to make payment against debit balance and margin payments as demanded by MOFSL in the form of Funds (which shall hereinafter mean and include account payee cheques but not cash or currency) or securities/commodities in the proportion as prescribed by MOFSL or Exchange, failing which the broker can square up all or any outstanding position of sale and / or purchase, in any segment and/or in any Exchange as per RMS policy of MOFSL.

(iv) Margin in the form of Collateral: MOFSL, in its absolute discretion will decide the eligible securities, which could be pledged by the Client for meeting current or future margin / deposit obligations. MOFSL would be free to continuously review the eligibility of securities already pledged by the Client. Securities which are pledged in favour of MOFSL towards margin / deposit, shall be valued by MOFSL as per valuation norms decided by MOFSL from time to time. The Client authorized MOFSL to sell these securities/ commodities to recover any outstanding dues including ledger debits / DP debits /meet the margin requirements in Cash and F&O, Currency, Commodity, other segments of the Exchanges. Accordingly securities which are pledged by client in favour of MOFSL shall be unpledged / invoked to meet the Exchange obligation upon selling.

(v) In case of dispute, these margin / deposits shall be repaid / unpledged to the client within six month of closure of account with MOFSL after meeting contingent liabilities arising out of all or other transactions.

(vi) Lien: The client agrees that all monies, collaterals or other property that may be held by MOFSL on the client's account shall be held by MOFSL at the sole risk and cost of the client and such monies, securities or other property as permitted by the Exchange(s) shall be held subject to a general lien for the discharge of the client obligation to MOFSL under the voluntary clauses irrespective of whether such obligation of the client is disputed by the client. MOFSL shall be under no obligation to release such monies, securities/ commodities or other property until the Client has discharges its entire obligation in full to MOFSL under the voluntary clause to the satisfaction of MOFSL.

(vii) The Client authorizes MOFSL to use its discretion to close out any part or all of the contracts in Capital Market, Equity, Currency, Commodity & Future and Options segments held in the Clients account with MOFSL for the protection of MOFSL, in case of any default by the Client. The Client agrees to reimburse any or all such incidental expenses incurred by MOFSL

(viii) Client agrees that in case of any payout (funds/securities/ commodities) which is yet to be received by him/them for the previous settlement(s), the stock broker would be entitled to adjust the same against the current or subsequent settlement obligations or other charges or under the circumstances when client defaults.

(ix) Set-off - The client agrees that MOFSL may set-off his credit balance available in his ledger account on any one Exchange/ segment against the debit balance in other Exchange/segment.

10. The Client agrees that any notice or communication served on the Client under the voluntary clauses shall be valid and binding on him and shall be deemed to be duly served, if conveyed in writing through Letter, Fax or by personal delivery duly acknowledged by the other party/ Courier at the Registered post to the address of the Client mentioned hereinabove or the last known address, or if electronically delivered at any one of the e-mail id intimated by the Client , or by publishing the same in the prominent daily newspaper where the registered / last known business / residential address of the Client is situated or if conveyed over telephone / fax on the last known number or on the recording machine of such number or if a notice is pasted at the door of the registered address or the last known address of the Client.

11. The Client agrees that he will send any communication or notice, to MOFSL in writing through Letter or by personal delivery duly acknowledged by MOFSL or by registered post sent at the registered address of MOFSL mentioned herein above.

12. The Client hereby agrees to ensure that before selling any shares,commodities he has the same in hand. Any loss arising of auction / closeout on account of shares not cleared in MOFSL's account will be borne by the Client. The Client also agrees to bear any loss arising out of auctions due to incomplete instructions, illegible instructions, unclear instructions and instructions not received on time.

13. The Client hereby authorizes MOFSL to transfer shares, commodities lying in MOFSL's pool account to his account and from there he can transfer / pledge to margin and/or any other account for pay-in purposes for shares/commodities purchased by the Client in previous settlements. In case t h e Client does not want MOFSL to transfer these shares towards inter settlement from MOFSL's pool account for payin purposes, he shall inform MOFSL in writing 48 hours before payin date. In case MOFSL does not receive the same in writing or for a wrong settlement, MOFSL shall not be responsible for loss, if any.

14. MOFSL will not be liable to the Client for loss arising due to fire, theft or loss due to human error in case of shares sent for dematerialisation, or any other unforeseen circumstances if the shares are in the custody of MOFSL beyond the stipulated time.
15. Tape recording of Client conversation: The client is aware that MOFSL / Authorised Person may tape-record the conversations while providing Trade Confirmations/ Advisory services/ research calls or otherwise between the Client or the Client's representative and MOFSL/ Authorised Person, either personally or over the telephone, and the Client hereby specifically permits MOFSL to do so. Such electronic recordings may be relied upon by MOFSL/ Authorised Person as and when required to resolve disputes in connection with the trading transactions or otherwise.
16. MOFSL has placed on its website and also made available to the client on login into his trading account a detailed document explaining to the client the features, risks, responsibilities, obligations and liabilities associated with securities/ commodities trading and demat account among others through wireless technology / internet/smart order routing. The client agrees to go through the above terms and conditions and it shall be deemed to be sufficient notice by MOFSL.
17. Risk Associated with Internet Trading/ Securities Trading using Wireless Technology (STWT)/Smart order Routing (SOR) Client acknowledges and accepts that the price of securities can and does fluctuate, and that any individual securities may experience downward/ upward movements, and may under some circumstances even become valueless. Client therefore appreciate that there is an inherent risks that losses may be incurred rather than profit made, as a result of buying and selling securities. Client acknowledges and accepts that the internet is an inherently unreliable medium of communication and provision of services due to the public nature of the communication and that the accuracy, reliability and soundness of such means of communication and provision of services depends upon, amongst others, the service providers and the telephone, modem, cables, systems, facilities and the like used and operated from time to time by such providers and other participants. Client acknowledges and further accepts that, as a result of such unreliability, there are risks associated in using such means of communication including the congestion, break down, interruption or failure of transmission of the internet service or any communication equipment or facilities, errors, omissions or delays in the transmission and receipt of orders and other data and information and in the execution and confirmation of orders and/or the execution of orders at prices which may be different from those indicated on the service or prevailing at the time the orders were given. There are also other risks involved such as in the unauthorized access, tampering, modification or alteration of the service and/or the system, components and software used or comprised in the service which may result in the use, manipulation, retrieval or the theft or loss of data and information, including Client personal data. The Client agrees that MOFSL shall not be liable / responsible for such matters and resultant losses under any circumstances. The systems used by MOFSL for providing Internet Broking services are generally capable of assessing the risk of the Client as soon as the order comes in. However, due to any reason whatsoever, if the order is processed without sufficient risk cover from the Client, Client shall be bound by such trade and shall provide such sums as may be required to meet his liability under the trade. The Client is aware that MOFSL has provided on the website a facility for reconfirmation of orders which are larger than that specified by MOFSL's risk management, by MOFSL and is also aware that MOFSL has the discretion to reject the execution of such orders based on his risk perception.

Best Execution Policy for Smart Order Routing (SOR) : This Best Execution Policy sets forth policy and execution methodology for client execution on the best terms. Upon acceptance of a client order for securities listed on a securities exchange within India and on specific client instruction regarding execution, trading member shall endeavor to execute that order in accordance with the following policy:

Where the security is listed and/or traded on multiple recognised stock exchanges (multiple listing), MOFSL shall determine the recognised stock exchange where to route the order or part of the order based on factors like price, costs, speed likelihood of execution and settlement size and nature relevant to the execution of the order.

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY MEMBERD TO CLIENT (For all clients who have opted above mentioned facilities)

A. Member is eligible for providing Internet based trading (IBT) and commodities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The Member shall comply with all requirements applicable to internet based trading/- commodities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
B. The client is desirous of investing/trading in commodities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for commodities trading through use of wireless technology. The Member shall provide the Member's IBT Service to the Client, and the Client shall avail of the Member's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Member's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
C. The Member shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with commodities trading through wireless technology/internet or any other technology should be brought to the notice of the client by the Member.
D. The Member shall make the client aware that the Member's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
E. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Member's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/ commodities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the Member.
F. The Client shall immediately notify the Member in writing if he forgets his password, discovers security flaw in Member's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
G. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/ commodities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
H. The Member shall send the order/trade confirmation through email to the client at his request. The client is aware that the

order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the Member shall send the order/trade confirmation on the device of the client.

I. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Member and the Exchange do not make any representation or warranty that the Member's IBT Service will be available to the Client at all times without any interruption.

J. The Client shall not have any claim against the Exchange or the Member on account of any suspension, interruption, nonavailability or malfunctioning of the Member's IBT System or Service or the Exchange's service or systems or non execution of his orders due to any link/system failure at the Client/Members/Exchange end for any reason beyond the control of the Member/Exchanges.

18. The client is requested to update details (Contact details, Financial details, along with source of income, Beneficial Owner etc.) periodically. Also the client is required to provide such details as per PMLA Act, Rules, guidelines issued thereupon as and when sought by MOFSL failing which necessary actions as deemed fit as per regulations will be initiated.

    The Client hereby declares that they have read and understood the contents and provisions of the PMLA Act 2002, Rules & guidelines issued thereupon and further confirm that they shall adhere to all the provisions of PMLA Act 2002, Rules & guidelines issued thereupon while dealing in securities markets. The client further undertake and confirm that:

    a) I / we do not have any links with any unlawful Persons / institutions.

    b) I / we am / are not involved in any unlawful activity & the investment money is derived from proper means & not connected with the proceeds of crime nor involve any black or Hawala Money in any manner.

19. Any Authorization shall always be subject to revocation at any time by the Client. However, this will be effective after the Client clears all the dues payable to MOFSL.

20. Authority to retain Funds towards Margin in Cash segment, F&O segment, Currency Derivative, Commodity Derivative & any other segment.:

    I/We, am/are registered with you as a client for execution of trades from time to time in cash/capital and/or F&O segment / Currency Derivative and/or Commodity Derivative Segment of Bombay Stock Exchange Ltd. (BSE) and /or National Stock Exchange of India Ltd. (NSE) and/or Multi Commodity Exchange of India Limited. (MCX) and /or National Commodity & Derivative Exchange Limited. (NCDEX) (hereinafter called as "the Stock Exchanges").

    For the purpose of operational convenience, I/we hereby give my/our consent to maintain my/our account for the funds on running account basis. I understand that consequent to your execution of my/our secondary market trades, I/we have either to pay/receive funds depending upon my / our securities transactions. In the event I/we have to receive funds from you on declaration of pay-out of funds by the Stock Exchanges, I/we hereby authorize you to retain the funds, as the case may be, with you as margin towards my/our ongoing secondary market transactions from time to time in Cash/Capital market and/or F&O segments and/or Currency Derivative Segment and/or commodity derivative segment of any of the Stock Exchanges. Kindly further note that I am entitled to revoke this authorization at any time, after sending the revocation letter at your registered office to enable you to make necessary changes to handle my account without running account authorization.

    I / We further authorized you to retain funds as may be permitted by Stock Exchanges / SEBI from time to time while settling my/our account.

    I/we authorize you to actually settle my account with you as per preference for settlement of funds as mentioned in account opening form or such period as may be permitted by the Exchanges / Regulators from time to time. Further, I understand that, I/We can request for the release of pay-out any time after adjusting all dues towards MOFSL.

21. General

    i) The Client agrees that MOFSL shall not be liable or responsible for non-execution of the orders of the Client due to any link/system failure, at the Client / MOFSLs/exchange's end.

    ii) The client agrees that the ledger statements in respect of transactions entered into on the cash segments of the Exchanges will be combined for my convenience and the payments received and paid by the MOFSL will be appropriated on a first-in first-out basis.

    iii) The Client hereby authorizes MOFSL to consider his account balances at consolidated level across various segments and thereby authorises to adjust / offset / intersegment transfer of fund / securities balances for the purpose of meeting margin requirement / margin reporting, limit setting, meeting settlement obligations etc. or for any other securities transactions purposes.

    iv) The Client agrees that a modification/addition/deletion to the terms and conditions on the website shall amount to a valid modification of the presents.

    (v) Client understands and agrees that the services availed from the Stock Broker is of commercial nature and any dispute with the Stock Broker in this regard shall be subjected to Exchange dispute redressal mechanism provided in this agreement and the consumer forum has no jurisdiction to entertain the same.

    (vi) The client confirm that he/they shall not have recourse to dispute Redressal mechanism/arbitration mechanism of the Stock Exchanges/SEBI in case the client avails the services under any schemes/leagues/competitions etc offered by any third party/group/company/associate of the stock Broker.

    (vii) Exchanges have issued circulars, cautioning the investors at large on unsolicited emails and SMS. In this reference you are requested to remain cautious on the unsolicited emails and SMS advising to buy, sell or hold securities and trade only on the basis of informed decision. Investors are advised to invest after conducting appropriate analysis of respective companies and not to blindly follow unfounded rumours, tips etc. Further, you are also requested to share your knowledge or evidence of systemic wrong doing, potential frauds or unethical behaviour through the anonymous portal facility provided on Exchange(s) on their Websites. As per prevailing regulatory guidelines, MOFSL / Exchange(s) may block the funds / securities payout for transactions in such scrips & customers shall abide by the same.

    (viii) The client is informed that dealing in shares of the listed Stock Exchange / Clearing Corporations & listed depositories shall only be dealt by fit and proper persons as per Regulation 19 & 20 of SECC Regulations & as per Regulation 6(B) of SEBI (Depositories and Participants) Regulations, 2012 & Schedule II of the SEBI (Intermediaries) Regulations, 2008 respectively.

    (ix) The client hereby confirms that his name is not appearing in UNSC / OFAC list and if in case similar name appears then client confirm that he is not the same person whose details is mentioned in UNSC / OFAC list.

(x) The client hereby authorises MOFSL to repledge any and all securities / commodities pledged as collateral by me /us from time to time with Exchange(s), Clearing House / Clearing Corporations / Clearing Members for limited purpose of meeting margin requirements as per prevailing regulatory guidelines. The Client further authorises MOFSL to unpledge / invoke such securities which are pledged in its favour for meeting settlement / payin / debit obligations.

(xi) I / We authorise MOFSL to initiate e-DIS process for enabling me / us to meet settlement obligation for my / our trades executed on Exchange(s) from my / our demat account to the Exchange / Clearing Corporations. I / We understand that to initiate the process of E-DIS, I/ We have to enter OTP & TPIN / Password through / on online portal of MOFSL as per prevailing regulatory guidelines. I / We further understand that in case if I / we do not complete the required actionables for meeting the settlement obligation, would result into shortage of pay-in of securities and thus I / we shall be completely responsible for the resultant actions including Auctions / Charges if any.

(xii) The client is aware that MOFSL also acts as a distributor of various third-party products. If the client wishes to invest in such third-party products through any of MOFSL's channels, they may provide consent to share their KYC details with the respective third party. Client also give explicit consent to MOFSL to share client's transaction data such as demat holdings, brokerage, fees, obligations, positions etc. in line with prevailing regulatory guidelines.

Furthermore, if the client does not wish to share their KYC information, such consent can be withdrawn at any time by intimating to MOFSL correspondence office, in accordance with the guidelines issued by SEBI/Exchanges as applicable from time to time.

(xiii) Client is aware that third party products are not Exchange Traded Products and the broker is just acting as distributor and all disputes with respect to the distribution activity, would not have access to SCORES/ODR, Exchange investor redressal forum or Arbitration mechanism. Further MOFSL shall not have any financial liability with regards to such third party product/services. For any disputes / grievances related to such product / services, client should take up the same with concerned third party.

(xiv) The Customer hereby authorises MOFSL to make Fixed Deposit or invest in units of Mutual fund overnight schemes or any instruments which is allowed as per prevailing regulatory guidelines out of your funds as available in client ledger maintained with MOFSL.

(xv) Client & MOFSL hereby agrees to return/reverse to/from Client, the Securities, commodities or the mutual funds that may have been wrongly/ erroneously debited/ credited from/to my / our demat account that MOFSL/I / we was / were not entitled to MOFSL shall agree the instructions given by me/us through any modes of communication and shall not be questioned by me/us and shall be conclusive and binding on me/us.

(xvi) MOFSL shall not be liable for any loss that may result from failure/inability of electronic connectivity of rejection of any of the request given by customer.

(xvii) The Client agrees and accepts that MOFSL's Employees / Business Associates / Authorized Persons shall never give any commitment of assured returns. Investment in securities market are subject to market risks. Client agrees that he/she/it shall read all the related documents, risk disclosure, research reports, research calls etc. carefully before investing as there is no assurance or guarantee of the returns. Client should not ask and act on any of such assurances / commitments If any given by any of MOFSL's Employees / Business Associates / Authorized Persons.

(xviii) I / We are made aware that there is a facility of Early Pay-in of funds (EPF) with Exchanges / Clearing Corporations for availing exemption from margin requirements to the extent of EPF done, in advance of trade. I / We have been made aware that I / We need to inform MOFSL / or its Branch to avail Early Pay-in of funds facility.

22. Force Majeure: MOFSL and/or its agents will not be liable for losses / costs / damages caused directly or indirectly from:

(i) any action, omission, suspension of trading, decision or ruling of any Exchange or Regulatory, Governmental or other body or of any other person which is beyond MOFSL's control; or

(ii) by acts of God including earthquakes, flood, accident; or

(iii) any commotion, insurrection, embargo, industrial dispute, computer, communication, telephone or system failure, war, power failure, equipment or software malfunction, strikes, etc; or

(iv) any other conditions, beyond the control of MOFSL.

The above Force Majeure events do not exempt the Client to fulfill the obligations in his account with MOFSL.

23. Severance:

In case anyone or more of the provisions contained in the voluntary clauses becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

24. CONDITIONS GOVERNING TRADING IN SECURITIES OTHER THAN ON THE FLOOR OF THE STOCK EXCHANGE

Whereas MOFSL is also registered with the Association of Mutual Funds in India (AMFI) as a Mutual Fund Distributor. And whereas MOFSL is providing a facility through its ONLINE services to apply / purchase / redeem / sale / buyback or otherwise deal in the units of Mutual Funds and securities (here in after referred to as Transactions) through its website as defined above And whereas the Client is desirous of availing the facility of the said transactions and such other facilities offered through MOFSL's website.

a. 1. The Client shall authorize MOFSL by executing a DDPI in the favour of MOFSL to execute instructions of the Client or its authorized representative with regard to the transactions.

All instructions given by the Client / its authorized representative shall be binding on the Client.

2. The Client undertakes to read all the relevant Offer Documents and addendums thereto and terms and conditions of all schemes of all mutual funds and other issues of securities including but not limited to Initial Public Offerings / Public Offers, Rights issue and Buy Back offers, offered through MOFSL's website; before entering into any transactions through the website and agrees to abide by the terms, conditions, rules and regulations as applicable from time to time.

b. The client hereby authorizes MOFSL to adjust the balance in his trading account maintained with MOFSL, for the purpose of investment in transactions, and similarly to use the balance in his IPO / Mutual Fund/other Investment account for setting off the debits in his trading account or otherwise, on the basis of his instructions, from time to time.

c. The Client agrees that MOFSL is entitled to disclose to regulatory authorities, all such information pertaining to the Client as may be required from time to time, for the Client to be able to avail of any or all of the services provided by MOFSL under these documents. MOFSL may furnish a certified copy of the DDPI and other documents on behalf of the Client to the Company / Registrar / Mutual Fund.

d. The Client can view his/ her / its transactions on the website.

e. MOFSL shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund/Registrar to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any sold though they may have been delivered.

f. The Client agrees to provide MOFSL with any confirmation / declaration or any other document that the concerned Issuer /Asset Management Company or any other entity may from time to time require MOFSL to collect from the Client in respect of the services offered under the voluntary clauses.

g.The Client further agrees that MOFSL shall not be held responsible for non-allotment of securities either fully or partly to the Client, for any reason whatsoever. MOFSL shall not be held responsible in case due to any reason the bid/application/ revision instructions sent by the Client is not received by it, or if the bid / application / revision could not be uploaded to the Stock Exchange, or could not be sent to the Bankers/ Registrar to the issue.

h. Any IPO / FPO / NFO / Bond issue or any other issue of securities, applied through MOFSL by any mode i.e. online / off-line / in writing e.t.c., MOFSL will not be responsible for (i) non-bidding of application, (ii) non-submission of application to Banker / RTA / Issuer and (iii) non-allotment of above securities by RTA / Issuer due to any reason.

25. The Client hereby confirm that he/they is/are not a Stock Broker or Authorised Person or Remieser of any Stock Exchange(s). Further, in the event client wishes to obtain any membership of any Stock Exchange(s) or wish to become or Authorised Person or Remieser of any Trading Member in any Stock Exchange then client undertake to obtain No-objection certificate from MOFSL prior to making an application to the Exchange(s).

26.Indemnification: The Client and the Authorised Person shall indemnify and shall always keep indemnified MOFSL harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and / or expenses that are occasioned or may be occasioned to MOFSL directly or indirectly, owing to bad delivery (as defined by the Exchange Rules/Regulations/Bye-Laws) of shares / securities and commodities / or as a result of fake / forged / stolen shares / securities / transfer documents that are introduced or that may be introduced by or through the Client during the course of its dealings / operations on the Stock Exchange(s).

The Authorised Person hereby agrees to indemnify MOFSL against all the claims including legal costs incurred to defend any claims made by the client of the Authorised Person.

The Authorised Person agree that the provisions of indemnity in this agreement shall be applicable though such damages, loss, liabilities and / or expenses mentioned above may devolve subsequent to MOFSL being declared a defaulter or suspended or expelled by the Exchange.

27. The customer agrees that as and when client sell the shares and want to transfer the shares from clients other than MOFSL demat account for payin purpose, client can transfer the securities till T+1 day upto 4 pm to MOFSL pool account. If the securities are received after the said cut off time, MOFSL will try to execute the DIS request on best efforts basis, in order to deliver the shares for Payin. However if the shares are not delivered for payin for circumstances beyond our control, MOFSL shall not be held responsible for the same and client has to bear the losses / debits.

28. I/we hereby authorizes MOFSL to send Trade confirmations, research calls, investment ideas etc. including all commercial communication even though I/we am/are registered or may register with National Do Not Call Registry established under the Telecom Unsolicited Commercial Communications Regulations, 2007 or registered or may register under the National Customer Preference Register established under new regulation viz the Telecom Commercial Communications Customer Preference Regulations, 2010.

29. All references to the specific quantity/rate/fee, if any, mentioned in this Annexure A are subject to change from time to time, as so agreed to in writing between the parties.

30. Client is made aware that if he / she is an designated employee of any listed company as per provisions of SEBI Insider trading guidelines, should take precautions while executing securities transactions in Trading window period as declared by the company from time to time. Client has to ensure that on the day of settlement obligation, such security is free for meeting settlement requirement. MOFSL shall not be held responsible for non settlement of obligations if any on account of freezing of companies ISIN as per LODR guidelines.

31. Client can voluntary freeze/block on line access of trading account. For further details please refer RMS policy in client login.

32. I/We hereby authorizes MOFSL to consider the KYC data like Proof of Identity (POI) and Proof of Address (POA) and any other information downloaded from other sources like CVL, KRA and CERSAI

33. As per SEBI circular SEBI/HO/MIRSD/ MIRSD-PoD-1/P/CIR/2024/143 dated October 22,2024, I/We hereby confirm that myself and persons associated with me/us shall not have any direct or indirect association with another person who-

(I) provides advice or any recommendation, directly or indirectly, in respect of or related to a security or securities, unless the person is registered with or otherwise permitted by the Board to provide such advice or recommendation; or

(ii) makes any claim, of returns or performance expressly or impliedly, in respect of or related to a security or securities, unless the person has been permitted by the Board to make such a claim.

34. The client is made aware that as per prevailing guidelines, client is not allowed to short sale securities which are not permitted in F&O segment. Short selling is allowed only in securities which are traded in the F&O segment. Further as per prevailing regulatory guidelines, retail client's needs to disclose the same to brokers by the end of the trading hours on the transaction day.

	Authorised Signatory
Name	
Designation	
Signature & Stamp	**16/20**

Place : _____ Date:_____

Note : All references to the specific quantity/rate/fee, if any, mentioned herein above are subject to change from time to time, as so agreed to in writing between the parties

POLICIES AND PROCEDURES

1. Refusal of orders for penny Stocks / Commodity Derivatives :- The client is aware and agrees that the stock broker may refuse or restrict a client in placing the order in certain securities/ commodties depending on various conditions like volume / value / part of illiquid scrips/Z group of securities illiquid commodities, although a client may have credit balance or sufficient margin in the trading account.

However, stock broker under exceptional circumstances may execute cliental order. The stock broker has the discretion to reject execution of such orders based on its risk perception.

2. Setting Up client's Exposure Limit

The client is aware and agrees that the stock broker may set the Exposure limits on the basis of available base capital which may comprise of Ledger and applicable collateral pledged in favour of MOFSL (after suitable margin hair cut). The limits may be allowed on a multiplier basis to the available capital or actual VAR margin basis or a specified margin depending on the Market conditions. Client agrees that said limit parameters is a dynamic process that is allowed at the discretion of the stock broker based on the Market conditions and their risk perception about the market. However on exceptional situations broker may use its own discretion in providing the limits and may change for a client or for all depending on market condition.

3. Applicable Brokerage Rate for Equity & Derivatives

a) The stock broker is eligible to charge brokerage with respect to transactions effected by it in various segment as mentioned herein below –

- For Capital Market Segment – The maximum brokerage in relation to trades effected in the securities admitted to dealings on the Capital Market Segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is further clarified that where the sale / purchase price value of a share is Rs. 10/- or less, a maximum brokerage of 25 paise per share may be charged.
- For Option Contracts of Equity and Currency Derivative - Brokerage for options contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. The brokerage on option contracts shall not exceed 2.5% of the premium amount or Rs. 100 (per lot) whichever is higher.

b) The stock broker may charge different Brokerage for Deliverable and Intraday transactions.

c) The client is aware that any request for change in the brokerage rate has to send in writing to the Branch who in turn will forward the request to Head Office of the stock broker. Acceptance / rejection of such request is at the discretion of stock broker.

d) Other Levies, charges, Goods and Service Tax (GST) e.t.c. will be charged on Brokerage as per Rules prescribed by the Government / Regulatory Agencies.

All the above charges and levies debited to clients would be mentioned in the Contract Note send to client.

Applicable Brokerage Rate for Commodity

a) The Stock broker is eligible to charge brokerage with respect to transactions effected by it in various segment as mentioned herein below –

- Delivery based– The maximum brokerage rate for the time being shall.be 2 % (plus expenses) in case of transactions resulting into delivery.
- Non-delivery based – The maximum brokerage rate for the time being shall be 1 % in case of non-delivery transactions.

b) The Stock broker may charge different Brokerage for Deliverable and Intraday transactions.

c) Brokerage shall be charged on the premium amount at which the options contract was bought or sold and not on the strike price of the option contract. Maximum permissible brokerage rate is 2.50% of premium amount or Rs.250/- per lot, whichever is higher.

d) The client is aware that any request for change in the brokerage rate has to send in writing to the Branch who in turn will forward the request to Head Office of the Stock broker. Acceptance / rejection of such request is at the discretion of Stock broker.

e) Other Levies, charges, Goods and Service Tax (GST) e.t.c. will be charged on Brokerage as per the Rules prescribed by the Government / Regulatory Agencies.

All the above charges and levies debited to clients would be mentioned in the Contract Note send to client.

4. Imposition of Penalties / Interest on outstanding debits & margins

The client is required to pay all amounts due to the stock broker on its due date. The amount due to broker shall include all type of Margin and Pay-in-obligation/Settlement Obligation on account of any other reason. Client is required to meet its dues to the Trading Member on account of various obligations like Margins & Settlement. These obligations if not paid in time, are met by the Trading Member to the Exchanges / Clearing Corporations / Clearing Members and is construed as funding on which interest would be applicable.

In case the client does not pay the amount due on time, the stock broker shall charge Interest on outstanding debits & margins up to the rate of 2% per month on the daily outstanding value or at such rates as may be determined from time to time by the stock broker. Interest will be charged from the time it become due till the time obligation is cleared by the client, on the basis of clear credit available in the account. The objective of charging such a interest- is to force a client to clear their dues on time.

The client hereby agrees that he/they will be charged Interest on outstanding debits & margins which shall be levied by the Stock Broker as MOFSL has accepted 100% securities with appropriate hair cut for margin purpose, but has to deploy his own funds/securities (approved) for meeting clients all type of margin requirements to Exchange(s) as per the applicable norms of the exchange.

The Client is hereby informed that, we as a Stock Broker are accepting deposits (towards margins) in the form of Cash deposits / Exchange approved securities / Exchange defined liquid scrips in any one form or combination thereof. Value of non-cash component would be arrived after deducting applicable Value at Risk percentage, as prescribed by Exchanges / Clearing Corporation from time to time. So the deposits may comprise of the cash component and non-cash component (after applicable hair cut). Further, client is informed that, Exchange accepts margins from a Trading Member in such form where maximum

benefit of non-cash collateral is given to the extent of cash component deposited.

Depending upon the total deposits given by the client, we may be providing exposure to the client as per RMS policy. Resultant margin requirement should be cleared by the client within prescribed timeframe. Margins can be collected from client both in cash and non-cash component and any shortfall in fulfilment of margin requirement will lead to charging of interest. Client is hereby informed that, we shall be computing interest as under –

- If client has made the deposits partially in Exchange Approved Securities and partially in Cash and has a margin requirement, then maximum benefit of Exchange Approved Securities (with higher hair cut) would be considered only upto 50% of margin requirement after adjusting available cash component. Therefore, any shortfall in the above explained norm will lead to charging of interest on such shortfall value. This interest is charged as we had to deploy our own funds / securities to meet the shortfall with Exchanges. There may be cases wherein MOFSL provides trading limit on non-cash collateral securities but the Clearing Corporation does not provide margin benefit due to the following reasons i) Collateral Security not part of Exchange Approved Security list, or ii) Collateral Security not repledged with CC, or iii) Quantity in excess of Cc's maximum permissible quantity limit. Where MOFSL provides trading limits on such non-cash collateral securities, the CC blocks MOFSL's proprietary collateral to the extent of client's margin utilization. Accordingly, MOFSL will charge interest on such blocked amount to the client. Clearing Corporations are reviewing the list of such approved securities on periodic basis and are making the changes from time to time. Hence, clients are requested to refer such list and place / pledge such approved securities as collateral to avoid interest charges. Further, as per regulatory guidelines, if a client's margin utilization is in excess of 90% of the client's total collaterals (cash component and non cash component), the Clearing Corporation (CC) shall block the Trading member's proprietary collateral to the extent of such excess utilization. Since MOFSL's own collaterals (maintained with Clearing Corporation) are being blocked by CC due to margin utilization in excess of 90% of client's collateral by the client, MOFSL is unable to utilize such blocked collaterals for any other purpose. Accordingly, MOFSL will charge interest on such blocked amount to clients that have utilized margin in excess of 90% of the total collaterals. Clients are therefore requested to utilize only 90% of their total collaterals to avoid interest charges.

The client agrees that the stock broker may impose fines/ penalties for any orders/trades of the client which are contrary to this agreement/rules/regulations of the Exchanges and is imposed by the Exchanges/Regulators. Further, under the instances where the stock broker has been penalized from any authority on account of/as a consequence of orders/trades of the client, the same shall be borne by the client.

5. The right to sell client's securities/commodities or close client's positions, without giving notice to the client, on account of non-payment of client's dues:-

The Client shall provide timely funds/securities/commodities for the purchase/sale of securities / commodities to the stock broker for meeting his obligation to the Exchange.

The securities so purchased under capital market segment and/or resulted in compulsory delivery under F&O / Commodity segment, securities so purchased / received shall be treated as unpaid client securities, if the outstanding payment is not cleared within one day of purchase (T+1 day) as per Exchange regulations. Such unpaid securities shall be liquidated anytime within 5 trading days from the date of payout if debit balance / outstanding dues are not cleared by the client by providing funds to the extent of debit balances.

Also, depending on brokers discretion and its RMS policy, on case to case basis, we may transfer the securities purchased by client in clients demat account (where DDPI is available in favour of MOFSL) despite outstanding debit balances / dues, if any, then we reserve the right to liquidate the same to settle the dues arising from time to time.

In case of client falling short of providing fund/securities, the stock broker has the right to close the positions. The Stock Broker has the right to sell client's securities or close clients position in accordance with RMS policy after giving prior notice to client on account of non payment of dues to the extent of Ledger debit and/or to the extent of Margin obligation(s). The broker can liquidate the securities bought or collaterals given or any other securities given in any other form for clearing the clients obligations.

MOFSL may in its sole discretion, determine the time of sell and securities to be disposed off and or which open position is / are to be liquidated / closed as per RMS policy applicable from time to time. To avoid selling of shares / closing of positions, we request you to maintain sufficient margin in your trading account.

6. SHORTAGES IN OBLIGATION ARISING OUT OF INTERNAL NETTING OF TRADES FOR EQUITIES

With implementation of Direct pay-out of securities by Clearing Corporation (CC) to clients demat account, the process of handling security-wise internal shortages shall be handled by CC. On settlement date, CC will identify broker level, securitywise internal shortage by comparing broker level security-wise gross sell obligations vis-a-vis security-wise pay-in received. The gross sell obligation shall be computed as sum of net sellobligation of all clients for a security. Wherever, pay-in quantity received is less than gross sell obligation quantity for a security across all clients, there is a case of internal shortage for that security. CC will handle internal shortage in the below given manner:

- On settlement date, CC will initiate direct pay-out of securities to client who had purchased shares on the trading day. Basis the internal shortage identified by CC as per process mentioned above, some clients may not receive direct pay-out of securities on the settlement date. As per CC's internal defined criteria, CC will solely decide and identify the clients to whom securities will be given as pay-out on settlement date and clients who will not receive securities. MOFSL does not have any role in identification of such clients.
- Post identification of internal shortages and completion of settlement process, CC will conduct an auction for obtaining securities for the impacted clients who have not received securities due to the internal shortage. Below scenarios may arise-
- Scenario 1 - Full short delivered quantity is obtained in the auction process: CC will give pay-out to the impacted clients in Auction settlement.
- Scenario 2 - Partial short delivered quantity is obtained in auction process: CC will solely decide and identify the clients to

whom securities will be given as pay-out in auction settlement and clients who will not receive. MOFSL does not have any role in such identification of clients.

- Scenario 3 – Full short delivered quantity is not obtained during auction process: CC will not give pay-out to any impacted clients.
- For clients who do not receive pay-out in auction settlement from CC, MOFSL, as per regulatory provisions will compulsorily close out such securities as per close out procedure / rates prescribed by CC. The impacted client will be credited with close out credit and said amount will be debited to the defaulting client.

The internal close out policy for handling internal shortages in Commodities is in line with the exchange policy for handling shortages at exchange level. Apart from this the seller will be additionally debited by 0.50% charges.

Thus, the buyer will get the credit of the shortage based on the calculation as mentioned above and the seller will be debited by the same amount + 0.50% charges. (Above defined parameters are subject to change from time to time).

7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client :-

MOFSL is entitled in its sole discretion to restrict or refuse execution of any orders for transaction in any scrip / commodity if transaction in such scrip / commodity is not in accordance with its internal surveillance / risk management policy and/or in accordance with the directives and guidelines of the Exchanges and/or the Regulator issued from time to time. MOFSL may at its sole discretion decline to carry out the instructions for any reason whatsoever.

In case overall position of client / clubbed position of client as per the SEBI guidelines, and/or on the basis of criteria set by Exchanges, in a scrip / derivatives contracts has reached the Regulators prescribed Exchange limit / Market Wide Open Interest limit, then client may not be allowed to take further position, till such time Regulator prescribed limits comes down to create a new position. Further in Exchange / Segments where client positions are monitored at group level (i.e. entities are clubbed by Exchanges as per their guidelines), those set / group of customers together have to abide by position limits as mentioned above.

Further, the stock broker may close the existing position of a client to the extent of Debit balances to release the Margin from the Exchange. In case if the stock broker has sufficient Margin cover on behalf of its client, it may still decide based on the market conditions and risk perception not to allow further position or may close the existing position of a client.

The customers are also requested to refer detailed Risk Management policy uploaded under client portal on Motilal Oswal Website www.motilaloswal.com.

8. Temporary Suspension/Closure of Accounts

- The client may request the stock broker for temporary suspension/closure of his trading account by sending a written request to Branch. This request will be in turn sent by Branch to Head Office for further processing where after verification of the client details, the trading account of the client will be suspended.
- The client would be required to clear all his dues/settlement of obligations before his account is temporarily suspended. The client may also be required to fulfill other conditions, on a case to case basis.
- The stock broker can withhold the payouts of client and suspend/close his trading account due to any internal / regulatory action.

The Customer will be intimated upon Suspension / closure of trading account within 15 days of suspension.

9. Deregistering a client

In addition to what the client has agreed in the agreement, the stock broker may terminate a client with immediate effect, but not limited to the following reasons –

- If the client is debarred by FMC/SEBI or any other regulatory authority.
- As a part of surveillance measure, if a client appears to be indulging in manipulative practices.
- Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt.
- If the client violates any of the terms of the agreement.

10. Treatment of Inactive Clients

- Motilal Oswal Financial Services Limited (MOFSL) identifies such client codes / trading accounts that are inoperative for a minimum period of preceding 24 months. A trading account will be considered inoperative if the below prescribed transactions are not carried out by the client since the preceding 24 months.
- Trading or participation in OFS/buy-back/Open Offer across any of the exchanges/segments (Cash/Equity Derivative/ Currency Derivative/ Commodities Derivative/EGR/Debt/ Online Bond Platform/ Execution Only Platform /Any other segment as may be allowed by SEBI/stock exchanges from time to time) of the exchanges through MOFSL, or
- Transaction in nature of applying/subscribing IPOs (where the IPO bid is successful & not cancelled)/SGBs/Mutual Funds (lump sum investment or investments through successful SIP instalment payments) on the Mutual Fund platform of the stock exchanges through MOFSL, or
- Modification/updation of e-mail Id/Mobile Number/Address in KYC record of client through MOFSL and the same has been uploaded to KRA to ensure Validated/Registered status.

* In case any of the above prescribed transactions is not carried out by the client in the preceding 24 months and the client has an existing open MTF position / Derivative position then, such a trading account will not be considered as in-operative.

- Accordingly, such trading accounts are made inactive in the trading & internal systems and the client is informed about the status of his trading account maintained with MOFSL via email/letter/SMS or by way of any other mode. Such trading Accounts shall also be marked "inactive / dormant" in UCC database of Exchanges where such client details are updated.
- For re-activation of such trading account, the client shall be required to make a request to re-activate the account and submit all necessary confirmation of existing client details (such as Address, Mobile number, Email ID, Bank/DP account, income etc.) registered with MOFSL or in case of modification, information / documents with regard to updation of their KYC

details. On receipt of re-activation request, In-person verification (IPV)/Video In-person verification (VIPV) will be carried out as per prescribed guidelines. Such latest updated client details shall also be updated in UCC database of respective Exchange and KRAs.

- While reactivating the client, MOFSL shall also verify the client status as per KRA. In case the client's status as per KRA is not validated / not registered (i.e. "On hold"/"Rejected"/"Registered" through other intermediary, etc.) then MOFSL shall not re-activate the client's trading account. In this case, the client is required to provide the latest KYC details like Address, Mobile number, Email ID, Bank/DP account, income, etc. along with the necessary supporting documents as required by KRA. Post submission of required details along with documents by the client, MOFSL shall validate these details with the documents provided and shall update its records accordingly. Before re-activating the client's trading account, MOFSL shall update/upload the required details/documents on KRA to ensure that the client's status is validated/registered with KRA. MOFSL shall also update such client details in the UCC records of the respective exchanges.
- In case of an individual client, a re-activation request can be made either through online mode (by following the reactivation instructions after web login) or through offline mode (by submitting Activation request form at Branch/AP office). In case of non-individual clients, re-activation request needs to be made through offline mode i.e. by submitting Activation request form at Branch/AP office.
- For all re-activation requests, MOFSL upon verifying / carrying out due diligence & completing above process at its end may activate the client's trading code in the trading & internal system. MOFSL shall simultaneously also update client's trading account status to "Active" in the UCC database of respective exchanges.
- Once an inactive trading account is re-activated, the computation of next 24 months for the purpose of identifying client as inactive in the subsequent period shall be considered from the date of last re-activation of trading account.
- There may be scenarios wherein there are long outstanding debit balances in inactive/dormant accounts. To recover such outstanding debit balances, pledged securities may be liquidated from client's trading account through RMS selling post intimating the client. For executing RMS selling in client's trading account, the client's trading account will be reactivated in our back-office and Exchange UCC without following the above prescribed criteria for reactivation. Post RMS selling, the trading account status will again be updated as inactive/dormant in our back-office records and Exchange UCC.
- Upon reactivation, the client is informed about the status of his trading account via email/letter/SMS or by way of any other mode. Upon re-activation and after updating the UCC status in Exchanges, MOFSL may execute the order as per instructions of clients. The client shall also be subject to ongoing duediligence in accordance with the provisions of the PMLA guidelines and the relevant KYC policies that have been issued from time to time.

Client Name	
Client Signature	17/20

11. The Client is informed that Motilal Oswal Financial Services Limited do carry Proprietary trading.

Client acceptance of policies and procedures mentioned here in above –I / We have fully understood and agree to sign the same.

Above policies and procedures may be amended / changed unilaterally by the stock broker provided the same is intimated via email / writing or reflected in the clients login.

12."Policy on handling of Good Till cancelled Orders of Client"

MOFSL is providing Good Till Cancelled (GTC) orders functionality. GTC is an order to buy or sell a stock that continues until the order is executed/expired/cancelled.

Validity of GTC order by default is T+1, whereas client can modify such orders upto 365 days and accordingly GTC orders shall be retained in your account. Intimation of corporate actions will be informed to clients upto one day prior to ex-date of the corporate actions for the applicable unexecuted orders.

FATCA / CRS DECLARATION FOR NON-INDIVIDUAL ACCOUNTS / Entities

Part A – Preliminary details (All fields mandatory)

Sr No	Particulars	Details of Applicant	
1.	Name of the Entity		
2.	Customer ID		
3.	Address for Tax Residence (including city, state, country and pin code)		
4.	Address Type (Business or registered office)		
5.	Entity Constitution Type. (Refer Instruction 6 in annexure)	☐ Partnership Firm ☐ Society ☐ AOP/BOI ☐ Trust ☐ Liquidator ☐ Limited Liability Partnership ☐ Artificial Juridical Person ☐ Others_____	
6.	**Do you satisfy any of the criteria mentioned below?**		
	a. Is the entity a U.S. person (Please refer 'other definitions' in the instructions)	Yes ☐ (Please answer b)	No ☐ (Please go to c)
	b. Is the entity a Specified US Person	Yes ☐	No ☐ Entity's exemption code: ____ (Refer instruction 5 in annexure)
	c Is the entity formed/incorporated outside India	Yes ☐ No ☐	<If yes, please specify city and country of incorporation / formation>
	d Is the entity having Tax Residency in any country (ies) other than India	Yes ☐ No ☐	< If yes, please provide the following details>

Country of Tax residency	Tax Identification No. / Functional equivalent of the foreign country	Identification Type #

#In case Tax Identification Number is not available, kindly provide functional equivalent or Company Identification Number or Global Entity Identification Number

7.	Is the entity a Financial Institution (FI) {including an Foreign Financial Institution} (refer instruction 1 in annexure) Or A Direct Reporting NFFE (Refer 'other definitions' in Annexure)	Yes ☐ (Please fill Part B)	No ☐ (Go to next question)
8.	Is the entity a publicly traded corporation / a related entity of a publicly traded corporation / Active NFFE (For clarification, refer instruction 3 in Annexure)	Yes ☐ (Please fill Part C)	No ☐ (Please fill Part D) **Note: Part D needs to be filled for all accounts opened, irrespective of answer to this section.**

Part B – If your answer to question 7 in Part A is a YES, please provide details in relation to Financial Institutions / Foreign Financial Institutions or Direct Reporting NFFEs

Particulars	**Details of Applicant**
The entity is: 1) Financial Institution ☐ 2) Direct Reporting NFFE ☐	Global Intermediary Identification Number (GIIN) _____ Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN and name below: Name of sponsoring entity: _____ (For clarification, refer 'Other Definitions' in the Annexure) Sponsoring Entity's GIIN: _____ (If GIIN provided, please go directly to the declaration and acknowledgment)

If GIIN not available [tick any one]: (Not applicable to Direct Reporting NFFE)	a. Not obtained: ☐ b. Applied for ☐ <Date of Application_____> c. GIIN not required ☐ Please specify reasons: _____ Please insert code: _____ (Mention Code – For clarification , refer instruction 2 in annexure) (Please go to Declaration and Acknowledgment)

Part C – If your answer to question 8 in Part A is a YES, please provide following details:

Sr No	Particulars	Details of Applicant
1.	a. Are you a publicly traded company? (Refer 'Instruction 3' in the annexure)	Yes ☐ [Please fill C1(b)] No ☐ (Please fill C2)
	b. Are your shares regularly traded on a recognized stock exchange	Yes ☐ No ☐
		If yes, please provide name of the stock exchange where the shares are regularly traded: 1. _____2. _____ (Please go to Declaration and Acknowledgment)
2.	**Are you a related entity# of a listed company mentioned in Part C (1) above** # Related entity - An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control	Yes ☐ No ☐ (Please fill C3) Nature of relation with the related entity: ☐ Subsidiary of the listed company. ☐ Controlled by a listed company If yes, please provide name of the related entity that is listed : _____ Name of the stock exchange where the shares of the related listed entity are regularly traded: 1._____2._____ (Please go to Declaration and Acknowledgement)
3.	Entity is an Active NFFE	Please specify nature of business _____ Category:_____ (Refer codes in Instruction 3) (Provide UBO details in Part D and go to Declaration and Acknowledgment)

Part D - If your answer to question 8 in Part A is a NO, please provide following details:

Entity is a Passive NFFE : ☐ (other than Direct reporting NFFE)	Entity is Active NFFE :☐ Please specify nature of business: _____

Provide details of all UBO/s or Controlling person/s, [natural persons as per PMLA] (including Owner Documented FFI's [For clarification, refer 'Other Definitions' in the Annexure]) in the table below

Are you an Owner-documented FFI's - Yes ☐ No ☐

If ' Yes', in addition to the below details , please provide a duly filled form W8BEN E along with FFI Owner Reporting Statement and Auditor's Letter. If 'No', Please provide below details only.

Details	UBO 1	UBO 2	UBO 3
Name of UBO			
UBO Code (For clarification, refer Instruction 7 in the Annexure)			
Country of Tax Residency			
Address for Tax Purpose & Type	Address, Zip, State, Country Residence/Business/ Registered office	Address, Zip, State, Country Residence/Business/ Registered office	Address, Zip, State, Country Residence/Business/ Registered office
Tax identification number / Functional Equivalent			
Identification document:	Passport Copy	Passport Copy	Passport Copy
	PAN Details	PAN Details	PAN Details
City & Country of Birth			
Occupation Type	Service/Business/Others	Service/Business/Others	Service/Business/Others
Nationality			
Father's Name			
GenderDate of Birth			
Percentage of Holding (%)			

- If any of the UBO is a resident / citizen of 'other than India' or citizen / tax resident / green card holder of country, please provide Taxpayer ID number or equivalent / Social Security Number [SSN]
- Submit documentary proof like shareholding pattern duly self-attested by Authorized Signatory / Company Secretary
- If number of UBOs are greater than 3 or the space required is insufficient, information in the given format can be given in additional sheets
- In case of a multiple intermediaries, please provide the shareholding / controlling structure of each such intermediary / ies.

Declaration & Acknowledgement

I/We have read and understood the information requirements and the Terms and Conditions mentioned in this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct and complete
Subject to applicable Laws, I / We hereby give consent to share my information with domestic / overseas regulators or tax authorities wherever necessary. Further I /We would like to state that in future if there is any change in my/our tax status (i.e. if I / we become tax resident of any other country other than India) then the same will be informed to MOFSL and FATCA/CRS Declaration will be submitted to you immediately.

Signed for and on behalf of	**Sole/First Authorised Signatory**	**Second Authorised Signatory**	**Third Authorised Signatory**
Name & Designation			
Signature	**18/20**		

Note : Instructions for the purpose of filling FATCA / CRS Declaration is available on MOFSL website at www.motilaloswal.com download options. Further MOFSL is unable to provide advice about your FATCA classification or interpretation of any terms. In view of the same please seek advice from a tax professional on any FATCA consultant.

Date: _____

To,
Motilal Oswal Financial Services Ltd. (MOFSL)
Palm Spring Centre,
2nd Floor, Palm Court Complex,
New Link Road, Malad (West),
Mumbai- 400 064.

Sub: Application to avail Margin Trading Facility under MOFSL.

Dear Sir/Madam,

With regards to captioned subject I /We Mr. /Ms. _____(in case of non-individual client director/partner of M/s. _____), is interested and wish to avail Margin trading facility rendered by Motilal Oswal Financial Services Ltd. (MOFSL).

Further I / We hereby confirm that I / We have read and understood the Rights and Obligations with regards to Margin Trading facility provided by MOFSL and agree to abide by the same.

Client Name	
Client Signature	**19/20**

Family Declaration – Email/ Mobile Updation in Family Codes
(Compulsory in case having common email & mobile in more than one A/C in MOFSL)

To,
Motilal Oswal Financial Services Limited 2nd Floor,
Palm Spring Centre, Palm Court Complex,
New Link Road, Malad (West), Mumbai - 400064

Date:

Dear Sir/Madam,

Subject: Family Declaration for registering common Mobile / Email details

I and my family members hereby request that mobile number and email id , as mentioned on KYC Page shall be considered in your records for the purpose of receiving communication from Motilal Oswal Financial Services Ltd. (MOFSL) or Stock Exchanges/ Depositories with regard to trading / demat transactions executed by me / us through MOFSL.

Thus, any communication relating to my /our trading and demat accounts should be sent to mobile number and e-mail id mentioned on KYC Page. This facility shall be provided to me/us as an exception, for my / our convenience of receiving transaction details at a single mobile number and e-mail id.

I / we understand that for the purpose of availing the above facility following are the authorised persons.

a. In case of HUF Karta or any of the Co-parceners as per prior approval of Karta

b. In case of Partnership firm, any of the partners as per prior approval of all / authorised partners

c. In case of a Trust, any of the trustees or beneficiaries as per resolution passed by the Trust

d. In case of Corporates, the Authorised person operating the trading account as per the Board Resolution passed by the Corporate

Sr. No.	Client Name	Client ID / DP ID	Relationship	Signature
1			**Self (Mandatory)**	
2			HUF	
3			HUF – Karta	
4			HUF – Co Parcener	
5			HUF - Co-parcener	
6			HUF - Co-parcener	
7			Partnership Firm	
8			Partner – Partnership Firm	
9			Partner – Partnership Firm	
10			Partner – Partnership Firm	

Sr. No.	Client Name	Client ID / DP ID	Relationship	Signature
11			Trust	
12			Trustee - Trust	
13			Trustee – Trust	
14			Beneficiary – Trust	
15			Corporate	
16			Corporate - Authorised Person / Director	
17			Corporate - Authorised Person / Director	
18			Corporate - Authorised Person / Director	
19			Corporate - Authorised Person / Director	
20			Corporate - Authorised Person / Director	

(In case of additional Coparcener / Director / Authorised Person / Trustee / Beneficiary, kindly provide details in separate sheet)

Client Code : _____

DECLARATION

To,
Motilal Oswal Financial Services Ltd.
2nd Floor, Palm Spring Centre, Palm Court Complex,
New Link Road, Malad (West), Mumbai - 400 064

For the purpose of Account Opening, I/ We hereby declare that the details provided on the KRA/KYC page downloaded from KRA System by you, are true and correct till date. 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 We are aware that I/We may be held liable for it.

Trading / Demat Account / Research Services

Based on my / our consent, Motilal Oswal Financial Services Limited. (MOFSL) have opened my / our account and I/we hereby acknowledge the receipt of a copy of executed Client Registration Form including KYC details, Tariff sheet, Nomination Registration details, Policies & Procedures, Standard Documents (i.e. Rights & Obligation Document, Risk Disclosure Document, Guidance Note - Do's and Dont's, T&C for Research services) and Most important Terms and Conditions (MITC) for Broking and Research services.

Further, I/we have read & understood all above documents and give my / our consent for activation. Further We are aware that Standard Documents are made available on Company Website i.e. www.motilaloswal.com

Signed for and on behalf of	**Trading Account Holder / 1st Holder of Demat Account**	**2nd Holder (Applicable in case of Joint Demat Account)**	**3rd Holder (Applicable in case of Joint Demat Account)**
Signature	**20/20**		
Name			

Place: _____ **Date:**_____ **day of** _____ **20**_____

FOR OFFICE USE ONLY

UCC Code allotted to the Client: | | | | | | | | | | |

Registered Date | | | | | | | | |

1. A) Client Interviewed by

B) In person verification done by

2. Document Verified with original

☐ (Original Verified) True Copy of documents received

☐ (Self - Attested) Self Certified documents copies received

Name of the Organization	PLEASE AFFIX RUBBER STAMP & SIGN
NSE / BSE / MCX/ NCDEX - AP Registration Number	
Person name doing IPV / docs / PAN verification	
Designation / MOFSL Employee code	
Date of IPV / Document Verification	
Date of PAN Verification with IT Site	
Signature of the Person	

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, 'Do's and Dont's' 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.

Place | | | | | | | | | | |

Date | | | | | | | | |

For Motilal Oswal Financial Services Limited

Authorised Signatory

Intentionally left blank