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A route to making money online

FORM NO. _____

OLT CLIENT CODE

CLIENT NAME _____

BROKERAGE OPTION

DP CLIENT CODE

KRA REF.

CKYCR REF.

OLT Application money is remitted on ____ / ____ / 20__ to

CANARA BANK A/c. No. 0106201005908

KERALA GRAMIN BANK A/c. No. 40576111000131

PRAGATHI KRISHNA GRAMIN BANK A/c. No. 10605111001608

CLIENT REGISTRATION FORM (DEMAT - CUM - ONLINE TRADING)

SEBI Registration Number

Depository Participant : IN-DP-300-2016

BSE : INB 011280238 (Cash Segment)
INF 011280238 (F & O Segment)

NSE : INB 231280232 (Cash Segment)
INF 231280232 (F & O Segment)
INE 231280232 (Currency Derivatives)

Research Analyst : INH 000001253

Canara Bank Securities Ltd.

A WHOLLY OWNED SUBSIDIARY OF CANARA BANK

CIN : U67120MH1996GOI097783



Regd. & Correspondence Office : 7th Floor, Maker Chambers III, Nariman Point, Mumbai - 400 021.
Tel : 022-22802400, 43603800 Fax : 022-22041715 Website : www.canmoney.in

DP Address : # 51, Stock Exchange Towers, 1st Floor, 1st Cross, JC Road, Bengaluru - 560 027.
Tel : 080-22116082 Website : www.canmoney.in

**GUIDELINES FOR OPENING A DEMAT-CUM-TRADING ACCOUNT (INDIVIDUAL)
FOR DETAILED INSTRUCTIONS PLEASE REFER PAGE 2 OF THE BOOKLET.**

1. Read the form carefully and in case of any queries contact the concerned officials of designated Branches of Canara Bank/Kerala Gramin Bank/Pragati Krishna Gramin Bank.
2. Trading Account will be opened in individual name only. (Not in Joint names) i.e. in the name of the first holder of the demat account only.
3. In case of joint bank account the trading account client should be the first holder in savings bank / current account with authority to operate account.
4. In case of joint demat account first name shall be of trading account holder.
5. Fill up all the details in the enclosed form. In case any of the columns is not applicable to you, mention N.A. against column.
6. Please affix your full signature in the places marked (X). (Total Signatures 27 i.e. (X1) to (X27))
7. Pages Branch Officials / Authorised Personal has to Sign. Page 9 (KYC Verified) Page 12 (Signature of Witness) Page 15 (In person Verification) Page 18 (Introducer Details) Page 19 (Docs. Verified by, Client Interviewed by, IPV Done by) Page 42 (In the Presence of Witness)
8. Power of Attorney to be signed by all the Joint A/c. holders in place marked (X)
9. Witness have to sign at all the relevant places.
10. All the proofs of identity and address should be self certified as true copy. Please bring the originals at the time of account opening for verification purpose.
11. Paste a recent passport size photograph in the space provided for in the form and sign across the photograph legibly.
12. Email ID, Contact No. of the client is a prerequisite to open the trading account.
13. Overdraft account cannot be linked. Only Current / SB account is accepted.

Documents required.

❖ **Proof of Identity**

- * Photocopy of PAN card with Photo (Mandatory) self attested and duly verified by Bank/CBSL officials

❖ **Proof of Residential address** (Any one of the following documents duly attested and verified by Bank/CBSL officials).

- * Passport / Voter ID / Driving License / Aadhaar
- * Bank statement/Registered rent agreement/Ration card
- * Telephone Bill Landline only (not more than 2 months old) Electricity bill (not more than 2 months old) / Insurance policy.

❖ **Income Proof** (Any one of the following documents duly attested and verified by Bank/CBSL officials).

- * Copy of ITR Acknowledgment / Copy of annual Accounts/Salary Slip, Form 16 in case of salary income
- * Net worth certificate along with the computation sheet not older than 6 months duly certified by the Chartered Accountant.
- * Bank Statement for the last 6 months (Not more than 3 months old) / demat account holding statement
- * Any other documents substantiating ownership of assets
- * Self declaration along with relevant supporting documents

❖ **Demat Proof**

- * Certified copy of the client master report/transaction statement containing the name of the constituent

❖ **Proof of Bank Account**

- * Copy of passbook or bank statement with customer ID, account number & full address duly authenticated by the branch official.

❖ **List of people authorized to attest/verify the documents:**

1. Notary Public, Gazetted Officer, P.O.(with signing power)/M.O./Branch In charge / Manager of a Scheduled Commercial Bank/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.

For account opening queries/clarifications, Contact : 080-22271211, dpcustomer@canmoney.in

INDEX OF DOCUMENTS

Sl.No.	Name of the Document	Brief Significance of the Document	Pg. No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI, NSDL & EXCHANGES			
1.	Account Opening Form	A. CKYC form - Document captures the basic information about the constituent and an instruction / check list	2-9
		B. Document captures the additional information about the constituent relevant to demat account, nomination form, FATCA, KYC, trading account, bank account and a check list	10-18
2.	Tariff sheet	A. Tariff for Beneficial Owner Demat Account	21
		B. Tariff for Online Trading Account	22
3.	Policies & Procedures	Document describing significant policies and procedures of the stock broker.	23-25
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER/DEPOSITORY PARTICIPANT			
4.	Voluntary Clauses	This Document contains additional clauses between client and broker	26-31
5.	Voluntary Clauses	Authorization for Electronic Contract Note (ECN) & Other Documents	32
6.	Voluntary Clauses	Authorization for Running Account	33
7.	Power of Attorney	This document is executed to authorise Canara Bank Securities Limited to transfer funds and securities of the clients upon execution of trade.	35-42

Name of depository participant/stock broker/trading member/clearing member:

CANARA BANK SECURITIES LTD.

	SEBI Registration Number	Date
Depository Participant :	IN-DP-300-2016	22/11/2016
BSE :	INB 011280238 (Cash Segment)	14/03/2007
	INF 011280238 (F & O Segment)	08/09/2011
NSE :	INB 231280232 (Cash Segment)	26/03/2007
	INF 231280232 (F & O Segment)	26/03/2007
	INE 231280232 (Currency Derivatives)	03/03/2009
Research Analyst :	INH 000001253	

Regd. & Correspondence Office Address :

7th Floor, Maker Chambers III, Nariman Point, Mumbai - 400 021.

• Ph. No. : 022-22802400, 43603800 • Fax : 022-22041715 • Website : www.canmoney.in

Depository Participant Address :

51, Stock Exchange Towers, 1st Floor, 1st Cross, JC Road, Bengaluru - 560 027.

Tel : 080-22271211 Website : www.canmoney.in

MD : **V. Kumara Krishnan** , Ph.: 022-22802421/43603821 Email : md@canmoney.in

Compliance Officer : **S.T. Vinay Kumar**, 022-22802422/43603822.
compliance@canmoney.in

For Dp related dispute / grievance please write to us at :- dpcustomer@canmoney.in

Ph.: 080 22271211 / 22291697 / 22116082

For broking / other grievance please write to us at :- customer@canmoney.in

Ph.: 022-22802400 / 43603800

In case not satisfied with the response, please contact the concerned exchange(s)/depository

NSDL Email : relations@nsdl.co.in

Ph.: 022-24994200

BSE Email : is@bseindia.com

Ph.: 022-22728097

NSE Email : ignse@nse.co.in

Ph.: 022-26598190/1800220058

A. Important Points:

1. Self attested copy of PAN card is mandatory for all clients, including Individuals / Proprietor / Promoters / Partners / Karta / Trustees / Managing Director / Whole time Directors and persons authorised to deal in securities on behalf of company/firm/others.
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. It should be duly attested by 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.
4. Name & address of the applicant mentioned on the KYC forms, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for the both have to be submitted.
6. Sole proprietors must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional. DIN number is required in case of directors.
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, photo copy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country (e.g., Heads of States or of Governments), senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

B. 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, P.O.(with signing power)/M.O./Branch In charge / Manager of a Scheduled Commercial Bank/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. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

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

General Instructions :

1. Fields marked with (*) are mandatory fields.
2. Tick '✓' wherever applicable.
3. Self-Certification of documents is mandatory.
4. Please fill the form in English and in BLOCK Letters.
5. Please fill all dates in DD-MM-YYYY format.
6. Where ever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle Act, 1988 and ISO 3166 country code respectively, list of which is available in page no. 5 & 6.
7. KYC number of the applicant is mandatory for updating of KYC details.
8. For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
9. Incase of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A. Clarification / Guidelines on filling 'Personal Details' Section

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

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

1. **Tax identification Number (TIN)** : TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a"Functional equivalent"), the same may be reported. Examples of such type of numbers for individuals include, a social security/insurance number, citizen/personal Identification/services code/number, and resident registrations number

C. Clarification / Guidelines on filling 'Proof of Identity (PoI)' section.

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

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

D. Clarification / Guidelines on filling 'Proof of Address (PoA) - Correspondence / Local Address details' section

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

E. Clarification / Guidelines on filling 'Proof of Address (PoA) - Current / Permanent / Overseas Address details' section

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

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

F. Clarification / Guidelines on filling 'Contact details' section

- Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- Do not add '0' in the beginning of Mobile number.
- Mobile Number and Email ID is to be mandatorily furnished. If you do not have a mobile number or email ID of your own then you may provide the details belonging to a close family member (spouse, dependant children or dependant parent only).

G. Clarification / Guidelines on filling 'Related person details' section

- Provide KYC number of related person if available.

F. Clarification / Guidelines on filling 'Related Person details' - Proof of Identity (PoI) of Related Person' section

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

List of Two - Digit State / U.T. Codes as per Indian Motor Vehicle Act, 1988

State / U.T.	Code	State / U.T.	Code	State / U.T.	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarkhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two - digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Island	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent & Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macendnia, the former Yugoslav Republic	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctic	AQ	Falkland Island (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Saint Maarten (Dutch Part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	Sough Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lnaka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MI	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svlbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thialand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor - Leste	TL
Brunei Darusslam	BN	Heard Island and McDonald Island	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Norther Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Paua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islanda	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Coted'voire Lcote d'Ivoire	CI	Korea, Demorcratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao ICuracao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Demorcratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and	SH	Zimbabwe	ZW
Tristan da Cunha							
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French Part)	MF		

CENTRAL KYC REGISTRY | Know you Customer (KYC) Application Form | Individual

Important Instructions :

- A) Fields marked with '*' are mandatory fields
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines/ instructions at the end
- E) List of State / U.T. code as per Indian Motor Vehicle Act. 1988 is available in page no. 5
- F) List of two character ISO 3166 country codes is available in page no. 6
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only (To be filled by financial institution)	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update	(Mandatory for KYC update request)
	KYC Number	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>		
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Simplified (for low risk customers)	

1. Personal details (Please refer instruction A in page 4)

	Prefix	First Name	Middle Name	Last Name	
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Mother's Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
PAN No.*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
Date of Birth*	<input type="text"/> D <input type="text"/> D	<input type="text"/> M <input type="text"/> M	<input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y		
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender		<div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;">Photo</div> <div style="border: 1px solid black; padding: 5px; margin-top: 5px;"> x1 Signature of Sole/1st Holder in demat Account </div>
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others		
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> <input type="text"/>)			
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian			
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B -Business <input type="checkbox"/> X-Not Categorised				

2. Proof of identity (Pol)* (Please refer instruction C in page 4)

(Certified copy of any one of the following Proof of Identity (Pol) needs to be submitted)

<input type="checkbox"/>	A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
<input type="checkbox"/>	B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/>	C- PAN Card	<input type="text"/>		
<input type="checkbox"/>	D- Driving Licence	<input type="text"/>	DL Expiry Date	<input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
<input type="checkbox"/>	E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/>	F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/>	Z- Others (any document notified by the central government)	<input type="text"/>	Identification No.	<input type="text"/>
<input type="checkbox"/>	S- Simplified Measures Account-Document Type Code	<input type="text"/>	Identification No.	<input type="text"/>

3. RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Tick if applicable)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 3 is ticked) (Please refer instruction B in page 4)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If Issued by jurisdiction)*

Place/City of Birth* ISO 3166 Country Code of Birth*

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction E in page 5)

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

Address Type* Residential / Business Residential Business

Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)

Voter Identity Card NREGA Job Card Others

Address Simplified Measures Account - Document Type code

Line 1*

Line 2

Line 3

City/Town/Village* District*

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

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS* (Please see instruction D in page 4)

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

Line 1*

Line 2

Line 3

City/Town/Village* District*

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

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES*

Same as Current / Permanent / Overseas Address Same as Correspondence / Local Address (Applicable if section 3 is ticked)

Line 1*

Line 2

Line 3

District* City / Town / Village*

Zip/Post Code* ISO 3166 Country Code*

5. CONTACT DETAILS (All communications will be sent on provided Mobile no / Email-ID) (Please refer instruction F in page 5)

Tel. Office Tel. Residence

Mobile Fax

Email ID

5.1 SPECIFIC DECLARATION REGARDING EMAIL ID & MOBILE NUMBER

I hereby declare that above mentioned Email ID belongs to :

Myself Spouse Father Mother Son Daughter (Please mention the Name & PAN No. of the close family member)

Name

PAN No.

I hereby declare that above mentioned Mobile number belongs to:

Myself
 Spouse
 Father
 Mother
 Son
 Daughter
 (Please mention the Name & PAN No. of the close family member)

Name

PAN No.

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill "Annexure B1") (Please refer instruction G in page 5)

Addition of Related Person
 Deletion of Related Person
 KYC Number of Related Person (if available*)

 Related Person type*
 Guardian of Minor
 Assignee
 Authorised Representative
 First Name Middle Name Last Name
 Name

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

PROOF OF IDENTITY (POI) OF RELATED PERSON* (Please see instruction (H) in page 5)

<input type="checkbox"/> A- Passport Number	<table border="1" style="width: 100%; height: 20px;"></table>	Passport Expiry Date	<table border="1" style="width: 100%; height: 20px;"></table>
<input type="checkbox"/> B- Voter ID Card	<table border="1" style="width: 100%; height: 20px;"></table>		
<input type="checkbox"/> C- PAN Card	<table border="1" style="width: 100%; height: 20px;"></table>		
<input type="checkbox"/> D- Driving Licence	<table border="1" style="width: 100%; height: 20px;"></table>	DL Expiry Date	<table border="1" style="width: 100%; height: 20px;"></table>
<input type="checkbox"/> E- UID (Aadhaar)	<table border="1" style="width: 100%; height: 20px;"></table>		
<input type="checkbox"/> F- NREGA Job Card	<table border="1" style="width: 100%; height: 20px;"></table>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<table border="1" style="width: 100%; height: 20px;"></table>	Identification No.	<table border="1" style="width: 100%; height: 20px;"></table>
<input type="checkbox"/> S- Simplified Measures Account-Document Type Code	<table border="1" style="width: 100%; height: 20px;"></table>	Identification No.	<table border="1" style="width: 100%; height: 20px;"></table>

7. REMARKS (If any)

8. APPLICATION 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 charges therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date :

Place :

x2
 Signature of
 Sole/1st Holder in demat Account

9. ATTESTATION /FOR OFFICE USE ONLY

Documents received
 Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date <table border="1" style="display: inline-table; width: 150px; height: 20px;"></table>	Name CANARA BANK/CBSL/PKGB/KGB
Emp. Name <table border="1" style="display: inline-table; width: 300px; height: 20px;"></table>	DP Code <table border="1" style="display: inline-table; width: 150px; height: 20px;"></table>
Emp. Code <table border="1" style="display: inline-table; width: 150px; height: 20px;"></table>	<table border="1" style="width: 100%; height: 80px;"></table> Institution Stamp
Emp. Designation <table border="1" style="display: inline-table; width: 300px; height: 20px;"></table>	
Emp. Branch <table border="1" style="display: inline-table; width: 300px; height: 20px;"></table>	
<table border="1" style="width: 100%; height: 40px;"></table> Employee Signature	


DEMAT ACCOUNT OPENING FORM (FOR INDIVIDUALS)
Client ID (FOR office use only)

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

 Date

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

A) Type of account

- | | | |
|---|--|--|
| <input type="checkbox"/> Ordinary Resident | <input type="checkbox"/> NRI-Repatriable | <input type="checkbox"/> NRI-Non Repatriable |
| <input type="checkbox"/> Qualified Foreign Investor | <input type="checkbox"/> Foreign National | <input type="checkbox"/> Promoter |
| <input type="checkbox"/> Margin | <input type="checkbox"/> Others (Please specify) _____ | |

B) Details of Account holder(S) :

Account Holder(s)	Sole / First Holder	Second Holder	Third Holder
Full Name	First Name	First Name	First Name
	Middle Name	Middle Name	Middle Name
	Last Name	Last Name	Last Name
PAN			
Aadhar Card			
Gross Annual income (Please tick any one)	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> Below 1 Lakh
	<input type="checkbox"/> 1-5 Lakhs	<input type="checkbox"/> 1-5 Lakhs	<input type="checkbox"/> 1-5 Lakhs
	<input type="checkbox"/> 5-10 Lakhs	<input type="checkbox"/> 5-10 Lakhs	<input type="checkbox"/> 5-10 Lakhs
	<input type="checkbox"/> 10-25 Lakhs	<input type="checkbox"/> 10-25 Lakhs	<input type="checkbox"/> 10-25 Lakhs
	<input type="checkbox"/> More than 25Lakhs	<input type="checkbox"/> More than 25Lakhs	<input type="checkbox"/> More than 25Lakhs

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

D) For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

a) Name	b) PAN
---------	--------

E) Bank Details

1.	Bank Account Type	<input type="checkbox"/> Savings Account	<input type="checkbox"/> Current Account
		<input type="checkbox"/> 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
----	------------------	---	-------------

F) Standing Instructions									
1.	I/We authorise you to receive credits automatically into my/our account							<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.	Accounts to be operated through Power of Attorney (PoA)							<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.	SMS Alert facility (Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile is provided in the KYC Application Form)								
	Sole / First Holder			Second Holder			Third Holder		
	<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No			<input type="checkbox"/> Yes <input type="checkbox"/> No		
4.	Mode of receiving Statement of Account (Tick any one)	<input type="checkbox"/> Physical Form							
		<input type="checkbox"/> Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form]							
5.	Receive annual reports, AGM notices and other Communications from issuers & RTA in Physical form							<input type="checkbox"/> Yes	<input type="checkbox"/> No
G) Guardian Details (Where sole holder is a minor) : For a account of a minor, two KYC Application Form must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)									
Guardian Name									
PAN								Relationship of guardian with minor	
H) Nomination Option									
<input type="checkbox"/> I/We wish to make a nomination. (Please fill details in FORM 10)					<input type="checkbox"/> I/We do not wish to make a nomination.				
I)	Standing instruction indicator for auto pledge confirmation							<input type="checkbox"/> Yes	<input type="checkbox"/> No
Notes :									
1. All communication shall be sent at the address of the Sole/First holder only.									
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.									
Declaration									
The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time for such accounts. I/we hereby declare that the details furnished above are true and correct to the best of my 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 misleading or misrepresenting, I/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations I/we acknowledge the receipt of copy of the document "Rights and Obligations of the beneficial owner and depository participant.									
(x3) Signature of Sole/1st Holder in Demat Account			Signature of 2nd Holder in Demat Account			Signature of 3rd Holder in Demat Account			
FOR OFFICE USE ONLY :									
RISK CATEGORIZATION					PAN VERIFIED WITH IT DATA BASE <input type="checkbox"/>				
<input type="checkbox"/> LOW			<input type="checkbox"/> MEDIUM		<input type="checkbox"/> HIGH		VERIFIED : SEBI PROHIBITED LIST / CRIMINAL BACKGROUND <input type="checkbox"/>		
					VERIFIED : UN SECURITY COUNCIL LIST <input type="checkbox"/>				

1. The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate and partnership firm, LLP, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. A Minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. The Nominee shall not be a trust, society, body corporate, partnership firm, LLP, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
6. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate and partnership firm, LLP, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
7. On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s)
8. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indication any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure. D.
11. Savings bank account details shall only be considered if the account is maintained with the same participant.
12. DP ID and client ID shall be provided where demat details is required to be provided.

Supplementary KYC Information & FATCA-CRS Declaration - Individuals

Please consult your professional tax advisor for further guidance on your tax residency, FATCA/CRS Guidance)

PAN*		Folio No. *If PAN is not available	
Name			Gender <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> O
Type of address given at KYC KRA	<input type="checkbox"/> Residential	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Business
Place of Birth			
Country of Birth			
Nationality			
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> 5-10 Lacs	<input type="checkbox"/> 25 Lacs - 1 Crore
	<input type="checkbox"/> 1-5 Lacs	<input type="checkbox"/> 10-25- Lacs	<input type="checkbox"/> > 1 Crore
			Net Worth in INR. In Lakhs
			₹
			Net Worth as on <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y
<i>(Date should not be older than one year)</i>			
Occupation Details	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Public Sector
	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Agriculture
	<input type="checkbox"/> Housewife	<input type="checkbox"/> Retired	<input type="checkbox"/> Others [Please Specify]
	<input type="checkbox"/> Student	<input type="checkbox"/> Forex Dealer	
Politically Exposed Person [PEP]	<input type="checkbox"/> YES	<input type="checkbox"/> Related to PEP	<input type="checkbox"/> Not Applicable
Are you a tax resident of any country other than india ? <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No			
If yes, please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.			
Country"	Tax Identification Number"	Identification Type (TIN or Other, please specify)	
# To also include USA, where the individual is a citizen / green card holder of The USA % In case Tax Identification Number is not available, kindly provide its functional equivalent \$			
Certification		Signature	
I / We have understood the information requirements of 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, I/We also confirm that I /We have read and understood the FATCA & CRS Terms & Conditions below and hereby accept the same.		<input checked="" type="checkbox"/>	
		Date <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y	
		Place <input type="text"/>	
FATCA & CRS Terms & Conditions			
Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-Tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders, In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also required to provide information to any institutions such as with holding agents for the purpose of ensuring appropriate with holding from the account or any proceeds in relation thereto.			
Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. It is important that you respond to our request, event if you believe you have already supplied any previously requested information.			

KNOW YOUR CLIENT (KYC) Application Form - For Individual

NEW CHANGE REQUEST (Please tick ✓ the appropriate)

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

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

Acknowledgement No. _____

A IDENTITY DETAILS

1. Name of the Applicant _____

2. Father's/Spouse Name _____

3a. Gender Male Female 3b. Marital status Single Married 3c. Date of Birth [D][D] / [M][M] / [Y][Y][Y][Y]

4a. Nationality Indian Other (Please specify) _____

4b. Status Resident Individual Non Resident Foreign National

5a. PAN _____

5b. Unique Identification Number (UID) / Aadhaar, if any: _____

6. Specify Proof of Identity submitted PAN card Other (Please specify) _____

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

(X6)

B ADDRESS DETAILS

1. Address for Correspondence _____

City / Town / Village _____ Pincode _____
State _____ Country _____

2. Specify the Proof of Address submitted for Correspondence Address: _____

3. Contact Details

Tel. (Off.) _____ Fax _____
Tel. (Res.) _____ Mobile No _____
E-mail Id. _____

4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)

City / Town / Village _____ Pincode _____
State _____ Country _____

5. Specify the Proof of Address submitted for Permanent Address: _____

C OTHER DETAILS

1. Gross Annual Income Details (Please Specify) Income range per annum: Below ₹ 1 Lac ₹ 1-5 Lac ₹ 5-10 Lac ₹ 10-25 Lac More than ₹25 Lacs

OR

Net-worth (Net worth should not be older than 1 year) Amount ₹ _____ as on (date) [D][D] / [M][M] / [Y][Y][Y][Y]

2. Occupation (Please tick ✓ any one and give brief details):

Private Sector Public Sector Government Service Business Professional Agriculturist Retired

Housewife Student Others (Please specify) _____

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

4. Any other information: _____

D DECLARATION

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

Date [D][D] / [M][M] / [Y][Y][Y][Y]

(x7)

Signature of the Applicant

FOR OFFICE USE ONLY

In Person Verification (IPV) Details:

Name of the person who has done the IPV: _____

Designation: _____ Employee ID: _____

Name of the Organization: _____

Date of IPV: [D][D] / [M][M] / [Y][Y][Y][Y]

Signature of the person who has done the IPV _____

Seal/Stamp of the Intermediary

- (Originals Verified) True copies of Documents received
- (Self Attested) Self Certified Document copies received

Date _____

Signature of the Authorised Signatory _____

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorised to deal in securities on behalf of company/firm/others.
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 authorised for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariners declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.

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

D.Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by 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.

E. List of people authorised 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, authorised officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of entity	Documentary requirements
Corporate	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). <input type="checkbox"/> Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <input type="checkbox"/> Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. <input type="checkbox"/> Copies of the Memorandum and Articles of Association and certificate of incorporation. <input type="checkbox"/> Copy of the Board Resolution for investment in securities market. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Partnership firm	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered partnership firms only). <input type="checkbox"/> Copy of partnership deed. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Photograph, POI, POA, PAN of Partners.
Trust	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered trust only). <input type="checkbox"/> Copy of Trust deed. <input type="checkbox"/> List of trustees certified by managing trustees/CA. <input type="checkbox"/> Photograph, POI, POA, PAN of Trustees.
HUF	<input type="checkbox"/> PAN of HUF. <input type="checkbox"/> Deed of declaration of HUF/ List of coparceners. <input type="checkbox"/> Bank pass-book/bank statement in the name of HUF. <input type="checkbox"/> Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<input type="checkbox"/> Proof of Existence/Constitution document. <input type="checkbox"/> Resolution of the managing body & Power of Attorney granted to transact business on its behalf. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Banks/ Institutional Investors	<input type="checkbox"/> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<input type="checkbox"/> Copy of SEBI registration certificate. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Army/ Government Bodies	<input type="checkbox"/> Self-certification on letterhead. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Registered Society	<input type="checkbox"/> Copy of Registration Certificate under Societies Registration Act. <input type="checkbox"/> List of Managing Committee members. <input type="checkbox"/> Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <input type="checkbox"/> True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify): _____
Specify your Email id, if applicable : _____
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify): _____
- Number of years of Investment/Trading Experience : _____
- In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others: _____
- I consent to receive the following documents in Electronic mode Physical Mode
 - a) Rights & Obligations of stock broker, Sub broker and client for trading on exchanges (including rights & obligations in case of internet/ wireless technology based trading)
 - b) Uniform Risk Disclosure Documents (for all segments / exchanges) and
 - c) Guidance Note detailing Do's and Don'ts for trading on stock exchanges
 - d) Rights & Obligations of the Beneficial Owner (BO) & Depository Participants (DP)
- Any other information : _____

G. NOMINATION DETAILS

I hereby give my consent to Canara Bank Securities Ltd. to consider the nomination made in Form 10 of this application form for all other investments made through them.

H. INTRODUCER DETAILS (optional)

Name of the Introducer: _____
Surname Name Middle Name
Status of the Introducer: Sub-broker/Remistier/Authorised Person/Existing Client/Others,
please specify _____ Address and phone no. of the Introducer: _____

Introducer OLT No. / Saving Account No. _____
Signature of the Introducer: _____

DECLARATION

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

Place _____

Date _____

x14

Signature of Sole/1st Holder in demat Account

FOR OFFICE USE ONLY

UCC Code allotted to the Client: _____

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

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

Signature of the Authorised Signatory

Date _____

Seal/Stamp of the stock broker

Acknowledgement

Canara Bank Securities Ltd. DP ID : IN301356

Received the application from Mr./Ms. _____ as the sole/first holder along with _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & client ID or trading client ID allotted to you in all your future correspondence.

Date

For **Canara Bank Securities Ltd.**

TARIFF FOR BENEFICIAL OWNER DEMAT ACCOUNTS

Note : This schedule is a part of the account opening form and is to be Signed

Sl.No.	Particulars	Revised Charges W.e.f - 01.01.2019
1	Account Opening	NIL
2	Annual Maintenance Charges (AMC)-	For Individual account - Rs. 500* For Non-Individual/Corporates - Rs. 1000
3	Demat/Remat	<u>Dematerialisation</u> :- Rs. 5 per Certificate with a minimum of Rs. 50 + Courier Charges of Rs. 25 <u>Rematerialisation</u> :- a) Fee of Rs. 25 for every 100 securities or part thereof subject to a maximum fee Rs. 7,50,000 OR b) A flat fee of Rs. 25 per certificate whichever is higher + actual pocket expenses / courier charges.
4	Transaction (Debit)	0.02% Minimum charges Rs.20 and Maximum Rs.500 For the same day pay-in 150% of regular transaction charges with a Minimum of Rs.50 and maximum of Rs.750 (upfront). For Online Trading customers of Canara Bank Securities Ltd., @0.015%, min Rs.14.50, Max Rs.375
5	Pledge Related	1. Creation - Rs.100 per ISIN 2. Invocation, closure & Confirmation per instance Rs.50 per ISIN (If pledge is marked in favour of Canara Bank concessional charge @50% will be levied and confirmation charges are waived where pledger and pledgee both have demat account with CBSL)
6	Failed instruction & Other charges	Rs.50 for every failed transaction. Additional statement Rs.25 per page, cheque bouncing / ECS return charges for want of funds' Rs.300

*Applicable only for the clients maintaining Trading Account with CBSL.

For other Clients : i) Maintaining only Demat account and linked to S.B. A/c. with Canara Bank/PKGB/KGB - Rs.1500
ii) Maintaining only Demat account and linked to S.B. A/c. maintained with Banks other than above - Rs.2500.
iii) 50% discount to Canara Bank Staff for having Demat account linked to SB account with staff product code.

Note :

- The above mentioned charges are exclusive of applicable statutory levis/taxes including Goods & Service Tax (GST)
- The Charges for BSDA will be levied as per Regulatory guidelines. If the value of holding is up to Rs.50,000 there will be "NIL" AMC and where value of holding is between Rs.50,001 to Rs.2,00,000 AMC will be up to Rs.100 per annum. The Value of Shares and charges is calculated as per NSDL formula and rates.
- Any service that is not indicated above will be charged separately as per the rates applicable from time to time.
- Interest @ 24% p.a. for delayed payment of bills.
- The depository services are liable to discontinuation if CBSL is unable to recover charges from the customer for any reason.

CBSL reserves the right to revise the tariff structure from time to time, any change in tariff will be communicated to the BO with 30 days prior notice by email / ordinary post / courier. The said revised tariff will also be displayed on CBSL website www.canmoney.in for BO's information/communication. BO is requested to take note of applicable tariff displayed on the CBSL's website from time to time.

x15

Signature of
Sole/1st Holder in Deamt Account

Signature of
2nd Holder in Deamt Account

Signature of
3rd Holder in Deamt Account

TARIFF SHEET FOR ONLINE TRADING ACCOUNT

I. Client to choose one from three options given below.

Option 1 <input type="checkbox"/>	NORMAL BROKERAGE OPTION (NBO)				
	Transaction Type		Rate		
	Non Delivery (Cash / Future)		0.05%		
	Delivery		0.35%		
	Future carry forward positions		0.10%		
Option 2 <input type="checkbox"/>	UPFRONT BROKERAGE OPTION (UBO) - Choice of 4 schemes				
		Standard	Silver	Gold	Platinmu
	VALIDITY				
	ONE MONTH				
	Brokerage payable upfront	Rs.299/-	Rs.499/-	Rs.999/-	Rs.3999/-
	Transaction type :				
	Non Delivery (Cash / Future)	0.035%	0.03%	0.025%	0.02%
Delivery	0.30%	0.25%	0.20%	.016%	
	Future carry forward position	0.07%	0.06%	0.05%	0.04%
Option 3 <input type="checkbox"/>	TURNOVER BASED BROKERAGE OPTION (TBO)				
	Daily Turnover below Rs. 5.00 lacs		0.25%		
	Daily Turnover of above Rs. 5.00 lacs but less than Rs. 20.00 Lacs		0.15%		
	Daily Turnover of above Rs. 20.00 lacs but less than Rs. 50.00 Lacs		0.10%		
	Daily Turnover of Rs. 50.00 Lacs and above		0.07%		
Equity Derivatives Option	Intraday Trades	Rs. 50 per lot (only on the sell side of the trade)			
	Carry Forward Trades	Rs. 50 per lot			
Currency Derivatives (CDs)	For Currency Futures, brokerage is Rs. 15 /= per lot, levied on each trade leg. For Currency Option, brokerage is Rs. 5 /= per lot, levied on each trade leg.				
Brokerage for Penny stocks	For penny stocks (where sale/purchase value of the share is Rs. 10/- or less), applicable brokerage shall be 1 paise per share irrespective of brokerage plan opted by the client.				

For transaction value upto Rs. 5715/- under delivery basis and upto Rs. 40,000/- under non delivery basis, Brokerage shall be lower of Rs. 20 or maximum permissible brokerage as per the rules/regulations of Stock Exchanges/SEBI per segment per exchange. The brokerage plan mentioned above in Tariff Sheet is applicable to transaction value exceeding Rs. 5715/- under delivery basis and Rs. 40,000/- under non delivery basis.

II. ACCOUNT OPENING CHARGES FOR OLT (On-Line Trading):

Consolidated charges - Rs. 600/- to be paid at the time of opening the account. (towards Power of Attorney and other expenses).

III. OTHER INFORMATIONS:

- * Client to Indicate option selected in the 3 in 1 application form.
- * Clients opting for upfront brokerage have to necessarily remit applicable brokerage at the beginning of each month. By opting any of the scheme under this option client authorizes the Company to debit his account for the monthly upfront brokerage payable under respective scheme.
- * At the end of the validity period i.e. 1 month, minimum of the actual brokerage amount collected during the month or the upfront brokerage collected shall be refunded to the client.
- * For Delivery and Non Delivery transactions under NBO & UBO, brokerage shall be charged on both sides i.e. on purchase and sale side.
- * Under Turnover Based Brokerage Option (TBO), (option 3 above) Brokerage rate will be same for both delivery and non delivery transactions and the brokerage will be charged on both sides for Delivery & non delivery transactions.
- * Under TBO delivery and non delivery transactions will be clubbed together to determine the turnover per day. Further, the turnover (both buy & sell) is reckoned segment wise, Exchange wise.
- * No charges for subscribing to IPO/MF
- * Brokerage for 'Option' transactions made under F & O segment shall be Rs.50/- per lot subject to the maximum permissible brokerage as per the rules/ regulations of stock exchanges/SEBI. Further for Futures transactions, brokerage will be applied on both sides as applicable to non delivery trades where the trades are squared off on the same day. For carry forward positions under FNO, brokerage will be charged as per the scheme opted by the client respectively.
- * Change of brokerage option / scheme shall charged be Rs.100 per request.
- * 'Month' in the context of brokerage options/schemes shall refer to 'calendar month'. Part of a month shall be treated as a month.
- * Service Tax as applicable from time to time shall also be levied.
- * All statutory levies like stamp duty, securities transaction tax, exchange turnover tax, SEBI turnover fees etc., shall be charged on actual basis.
- * Disclosure on Proprietary Trading : The member hereby discloses that it undertakes Proprietary /OWN Trading in addition to Client Based Trading.

(x16)

Signature of Sole/1st Holder
in Demat Account

The Clients are required to note that the policies and procedures set out here below are mandatory and binding, if the clients want to avail the services of Canara Bank Securities Limited (herein after called as CBSL).

A. REFUSAL OF ORDERS FOR PENNY STOCKS:

Generally, Penny stocks have all or any of the following characteristics:

Trading at a price which is less than the Face value of the share.

Small Market Capitalization.

Poor / Unsound fundamentals.

Low liquidity.

CBSL may at its discretion categorize any stock as penny stock as per its Policy and risk perception.

CBSL has adopted the following Policy on the Penny stocks:

CBSL shall have the absolute discretion to restrict its clients from placing buy or sell orders in Penny / illiquid stocks inspite of client providing adequate hold of funds, Margin / balance in his her / its account. To this end CBSL, may at its discretion accept and / or refuse any buy or sell order for penny / illiquid stocks from clients over phone. CBSL at its sole discretion, introduce online stocks to restrict clients from order placement in penny/ illiquid stocks. CBSL may seek declarations from the clients before accepting such orders. CBSL may place such restrictions at the beginning or in between the market hours notwithstanding the client has / had previously purchased and / or sold such scrip / contracts through CBSL itself in the past. Further, client while placing buy or sell order for penny stocks / illiquid stocks shall not specify the price which is substantially different from the then existing market price. Client must ensure that placing of such orders doesn't result in creation of artificial bid / offer / volume or misleading or false appearance of trading. Client shall also ensure that their trading in penny stocks doesn't operate as a device to inflate or depress or cause fluctuations in the price of such stocks. CBSL may at its discretion, restrict intraday trading in such illiquid / penny stocks. CBSL shall provide intraday trading only in BSE "A" group scrip which are in FNO segment of NSE/BSE. CBSL at its sole discretion may **restrict order** placement in any other contracts or scrip which are extremely volatile and / or subject to market manipulations. CBSL at its discretion may cancel the pending orders in full or pending portion of the partly executed orders placed by the clients / dealers in respect of such illiquid / penny stocks. CBSL shall not be responsible for any opportunity loss or financial loss to the client consequent to non acceptance or cancellation of the pending orders. Further, the client shall indemnify CBSL for any loss caused / any cause to CBSL on account of client's trading in penny / illiquid stocks.

B. SETTING UP CLIENT'S EXPOSURE LIMITS

Exposure is permitted based on the funds / securities put on hold by the client through the portal / the dealer in the account linked to the trading account or based on the deposits, balances and collaterals available. CBSL also permits exposure to the clients to the tune of value of sale proceeds of T day under the delivery based trading product. Unused exposure on account of such value of sale proceeds is carried forward till T + 2 day. Mark to market loss if any shall be reduced from the available exposure of the client.

CASH SEGMENT:

Delivery Trades : CBSL stipulates 100% margin by way of hold on funds for the value of buy orders and hold of securities to the extent of sale order for delivery trades.

Non Delivery Trades - Margin : For non delivery (intraday) trades CBSL provides exposure based on the multiple of fund put on hold for both buy and sell orders.

Non Delivery Trades - Margin Plus: Margin plus product enables the client to place two contra orders while taking an intraday position, i.e a profit making limit order and a market stop loss trigger order at a time. Also, the clients can avail enhanced exposure to the fund put on hold depending on the Trigger price they set.

BITSOT: For trades under BITSOT (Buy in Today Sell out Tomorrow) no separate margins are stipulated by CBSL as the client has already paid the full value of share under delivery trade. Leveraged exposures are provided to the clients at the sole discretion of CBSL and are subject to change based on the market conditions and client profile.

F & O SEGMENT :

Clients are required to provide Initial Margin i.e. SPAN Margin and Exposure as stipulated by NSE/BSE and an additional margin as decided by CBSL from time to time and notified in the Initial / FNO margin report available in the trading page. Clients are required to provide the margins as stipulated above for both buy and sell of Future contracts and for Sell / Writing of Options. The premium on purchase of options is recovered upfront by way of available balance in the form of hold in bank accounts or credit in the account maintained with CBSL.

CDS SEGMENT :

Clients are required to provide Initial Margin i.e. SPAN Margin and Extreme Loss Margin as stipulated by NSE/BSE and an additional margin as decided by CBSL from time to time and notified in the Initial/FNO margin report available in the trading page. Clients are required to provide the margins as stipulated above for both buy and sell of Future contracts.

C. APPLICABLE BROKERAGE RATE :

CBSL client has the choice to select the brokerage scheme. Client has the option to change the brokerage scheme by paying the applicable charges, details of the same are available in the Tariff of charges attached to the application which is also published on the web site. Apart from the brokerage the client is liable to pay other statutory charges/ taxes imposed by the Regulators / Governments and DP charges like AMC, Transaction charges etc. Brokerage shall not be charged more than maximum permissible limit as per rules and regulations of SEBI/Exchange. For penny stocks (where sale/purchase value of the share is Rs. 10/- or less), applicable brokerage shall be 1 paise per share irrespective of brokerage plan opted by the client.

D. IMPOSITION OF PENALTY / DELAYED PAYMENT CHARGES BY EITHER PARTY SPECIFYING THE RATE AND THE PERIOD :

CBSL adheres to the pay out schedules specified by the Exchanges. Clients are also required to provide the funds/ securities to CBSL well in advance to meet the Pay-in obligation to the Exchanges. CBSL reserves the right to charge / recover the penalty if any levied by the Exchanges or other Regulators from the respective clients for the client's orders/trades. Further, CBSL shall reserve the right to charge interest for delayed payments at the rate of 2% per month.

E. RIGHT TO SELL CLIENTS' SECURITIES OR CLOSE CLIENTS' POSITIONS, WITHOUT GIVING NOTICE TO THE CLIENT ON ACCOUNT OF NON-PAYMENT OF CLIENT'S DUES LIMITED TO THE EXTENT OF SETTLEMENT / MARGIN OBLIGATION :

Client is required to maintain the requisite margin for the open positions under cash segment and open / carry forward positions under FNO / CDS at all the times. The intraday trades (IDT) in the Cash segment shall be squared off without referring the clients at the cut off time (presently 3.10p.m.) or any other time decided and informed to the client by CBSL at its discretion. Further, CBSL shall monitor the client's positions through the RMS and has the following policy for squaring off the positions : 20% Cover (80% erosion in value of allocated funds under IDT) CBSL may at its discretion square off open position of the clients under IDT as soon as the clients MTM losses erode 80% of the total used exposure. CBSL shall also resort to selling the clients' securities / square off the positions when the client fails to provide the funds towards the valuation debit / auction against the BITSOT trade. In case of FNO and CDS the client is required to maintain the margins stipulated by CBSL at all times. Whenever there is shortfall in the margins, client is required to replenish the same. CBSL shall square off the positions of the clients under FNO / CDS with further notice when the shortfall is to the extent of additional margin and exposure margin required for the open positions. All losses consequential to such square off or sale of collaterals shall be borne by the client. In case CBSL is unable to square off or refrain from squaring off the position due to margin shortfall, the client shall not have a right to claim that the position was not squared off and the same has resulted in additional losses. Square off shall be at the discretion of CBSL and all consequential losses and charges shall be borne by the client.

F. SHORTAGES IN OBLIGATIONS ARISING OUT OF INTERNAL NETTING OF TRADES :

There is a possibility that the delivery shortage of one client is compensated by the long position of other client of the Company. In such case the shortage will be an internal shortage and shall not be auctioned on the Exchange as the settlement takes place after netting out the position of all clients across the Trading Member.

Client hereby agrees that if he/she/it has short delivered any securities against his/her/its pay in obligation which resulted into internal shortage and could not be auctioned in the market, then CBSL may either go in for a Self Auction on BSE or close the transaction at and the closeout price will be 10% above, the closing price on the auction day or closing price of trading day or the settlement day whichever is higher. CBSL may revise the percentage from time to time and the same will be intimated to the client. In case of purchaser he/she/it will receive credit of the amount calculated as per the above formula. CBSL may resort to any other method of settlement of transaction if it is mutually agreed by both the parties and CBSL.

G. CONDITIONS UNDER WHICH A CLIENT NEED NOT BE ALLOWED TO TAKE FURTHER POSITION OR THE CBSL MAY CLOSE THE EXISTING POSITION OF A CLIENT :

Apart from Exchange stipulated instances and technical failures, CBSL shall not allow the client to take further positions or close the existing positions whenever there is shortage of margins. This may be either security specific or client specific based on the circumstances.

Under Intraday Trading client is not allowed to take fresh positions after 3.10 p.m. or any other time stipulated by CBSL and intimated to the client from time to time.

H. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST :

Trading account opened shall be in inactive mode till the client makes a request over dedicated telephone no. to CBSL for activation of the same. CBSL may at any time temporarily suspend the trading account of the client based on the written request received in this regard from the client. Where the client has requested for temporary suspension of the account, no trades shall be permitted in such account. To reactivate such suspended accounts, Client is required to make a written request to CBSL. Before reactivating such accounts CBSL may ask the client to provide for financial statement or other documents as it deems fit and reactivation shall be solely at the discretion of CBSL. CBSL may suspend the account from trading on notices received from Statutory, Government or Local Bodies, Income Tax, Judicial or a Quasi-Judicial authority, Regulators etc. or client reported to have expired. For closure of the trading account, the client is required to submit a written request to CBSL. CBSL shall examine the same in the light of the compliance requirements, pending queries, security / funds dues if any from the client. The account shall be closed after the necessary approvals as above and after the notice period as decided by CBSL as per the terms of the Rights and Obligations and regulatory requirements from time o time.

I. DEREGISTERING A CLIENT :

CBSL at its sole / absolute discretion shall deregister a client and prohibit him / her / it from trading for the reasons it deems fit. Such deregistration shall not effect the rights and liabilities of the parties in respect of the transactions executed before the date of such deregistration. An inclusive list of such reasons for which a client shall be deregistered is provided here below:

SEBI or any other Regulator has passed an order against such client prohibiting or suspending such client from participating in the securities market.

A client who has been indicated by a regulatory body or any government enforcement agency in case of market manipulation or insider trading or any other case involving violation of any law, rule, regulation, guidance or circular governing the Securities market.

A client suspected of indulging in illegal or criminal activities including fraud or money laundering. A client's name appears in the UN list of prohibiting entities or SEBI debarred list.

A client's account has been lying dormant for a long time.

A client has a tainted reputation and any business relationship with such client is likely to tarnish the reputation of CBSL or may act as detriment to CBSL's projects.

Company at its discretion shall review the aforesaid Policies and procedures based on the Regulatory requirements and market practice.

J. POLICY ON INACTIVE ACCOUNTS :

An Online Trading (OLT) account which is not operated either by login through Internet or over telephone for a period of 6 months or more shall be treated as a dormant account and hence, an inactive account. In respect of inactive accounts, the Company has the following laid down policy.

1. An OLT account is treated as "inactive", where the client has not logged in either through internet or telephone for a period of 6 months or more.
2. Company shall lock such inactive accounts immediately on completion of 6 months period and clients shall not be permitted to login through the passwords / TPIN provided by the Company.
3. A client whose account has become inactive has to request to the Company through a letter or an email from the email id registered with the Company or by any other approved mode acceptable to the Company to send fresh password/ TPIN and unlock the account.
4. Company may inform the client to submit any credentials or documents before activating the account.
5. Activation of an inactive account is at the sole discretion of the Company.
6. An OLT account shall remain active even if there are no trades in the account for a period of 6 months or more, provided the client has logged in during the period either for placing the orders or to avail any other service.
7. Company recovers the client's obligations on the date of trade and credits the dues to the clients account based on the settlement calendar and compliance stipulated by the Exchange. Company shall not withhold the client assets unless there are any dues from the clients for the trades executed by the client through the portal.
8. Hold created by the client in respect of funds and / or securities in favour of the Company shall remain so until and unless the client releases the same irrespective of the account becoming inactive due to non operation. However, such funds / securities shall continue to remain in the Client's respective CASA / Demat account and client shall be alone responsible for release of such holds by following the required procedure enumerated above.

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Signature of Sole/1st Holder
in Demat Account

VOLUNTARY CLAUSES

The Clients are required to note that clauses in this document are not mandatory as per the SEBI and Exchange guidelines, but are binding, if the client wants to avail the services of CBSL.

The Client may revoke or cancel any or all the clauses and in such a situation CBSL reserves the right to deny the particular service or cancel / terminate the dealings with the client.

1. Definitions

- 1.1 "Account" shall mean the CLIENT's Trading & DP Account with CBSL.
- 1.2 "Bank Account" shall mean the bank account that may be opened by the CLIENT with a Designated Bank pursuant to this Rights and Obligations.
- 1.3 "BSE" shall have the meaning the Bombay Stock Exchange Limited and will include its Clearing corporation/ clearing house.
- 1.4 "Business Day" means any day on which the BSE/NSE are open for trading.
- 1.5 "Designated Bank" shall mean Canara Bank/ Kerala Gramin Bank /Pragathi Krishna Gramin Bank with whom CBSL has arrangements for electronic debit/credit of payments and receivables to and from its Clients.
- 1.6 "Broking Services" shall mean the services provided by the CBSL for doing trades through the Stock Exchange.
- 1.7 "DP Account" shall mean an account that may be opened by the CLIENT with designated DP pursuant to this Rights and Obligations.
- 1.8 "Designated DP" shall mean depository participant i.e Canara Bank Securities Ltd. which includes an Internet delivery gateway, for speedy delivery and receipt of securities to and from its CLIENTS.
- 1.9 "Minimum Margin Deposit" means the minimum cash/securities balance that the CLIENT is required to maintain with CBSL at all times as a condition to avail the broking Services.
- 1.10 "Nifty" shall mean the NSE's fifty share stock index.
- 1.11 "NSE" shall have the meaning the National Stock Exchange of India Limited and will include its Clearing corporation/ clearing house.
- 1.12 "Order Types" shall include the various types of orders, including those listed in Trading and Product Guidelines Brochure and order types known by such other name or terminology as are commonly used in the trade, that the CLIENT may place with CBSL.
- 1.13 "Password" shall mean the alphanumeric code allotted by CBSL to the CLIENT to enable it to validate the Username and operate the Account.
- 1.14 "Products" shall mean the various products offered by CBSL as part of the broking Services.
- 1.15 "Relevant Stock Exchange" shall mean the stock exchange where CBSL has a membership and it offers/ plans to offer its products and services.
- 1.16 "SEBI" shall have the meaning Securities and Exchange Board of India.
- 1.17 "Sensex" shall mean the BSE's sensitive stock index.
- 1.18 "Settlement Cycle" shall mean the settlement period specified by the relevant Stock Exchange.
- 1.19 "Stock Exchange" shall mean a stock exchange that is recognized by SEBI and shall include the BSE/NSE.
- 1.20 "Trading and Product Guidelines Brochure" means the product brochure describing the products offered by CBSL from time to time at its sole discretion.
- 1.21 "Trading Hours" shall mean such period of Business Day when the relevant Stock Exchange offers trading to its members including CBSL.
- 1.22 "User name" means the login identification allotted by CBSL and used by he CLIENT for accessing its Account.

CBSL hereby agrees to provide broking Services to CLIENT and the CLIENT agrees to avail of the broking Services provided by CBSL on the terms and conditions set forth in this Rights and Obligations.

2. Eligibility Criteria

The CLIENT shall be eligible to avail of the Broking Service only after having registered with CBSL on completing the Registration Form prescribed by CBSL in this behalf and fulfilling the conditions of registration specified by CBSL from time to time including, inter alia, as follows:

- 2.1 The existing/opening of a bank account and a depository account by the CLIENT either with a Designated Bank and a Designated DP or with a bank and a depository participant acceptable to CBSL.
- 2.2 The existence or creation of the Minimum Margin Deposit by the CLIENT with CBSL.
- 2.3 Execution of such other documents and furnishing of particulars as may be required from time to time by CBSL.
- 2.4 On the satisfactory verification by CBSL of the information provided by the CLIENT and the fulfillment of all requirements as stated in sub-clauses 2.1 and 2.3 above by the CLIENT, A CBSL shall register the CLIENT for availing the Broking Services and issue a unique client number and Open the Account.

- 2.5 On opening of the Account, CBSL shall provide the CLIENT with a Username and Passwords to access and operate the Account, for availing of the Broking Services.

3. Services offered by CBSL

CBSL provides to their Clients, DP, Broking and other value added services which include:

- a. DP services
- b. Broking services through their website www.canmoney.in and internet client server application
- c. Trading facility over telephone as 'Dial'2 Trade'
- d. Facility to trade via the canmoney mobile app available for android and IOS devices.
- e. Online subscription to IPO/Mutual Fund Schemes/other Investment Schemes

Terms and Conditions of On Line Trading through www.canmoney.in & canmoney mobile app: The Client agrees to avail of the On-Line-Trading services through their website www.canmoney.in & canmoney mobile app subject to the terms and conditions below:

- 3.1 For the purpose of Broking services Client will be entitled to a Login ID, Login and Trade Passwords through which Client can directly deal in the securities through the Website www.canmoney.in & canmoney mobile app and internet client server application.
- 3.2 For the purpose of trading facility over telephone client can get an access to the Tele-brokers of CBSL through login ID and a separate 4 digit Telephone Personal identification Number (TPIN).
- 3.3 The client agrees that CBSL shall seek to verify the Client's default demat account number or such other information for client identification when the Client accesses the Tele-brokers of CBSL.
- 3.4 CBSL shall from time to time introduce such other additional facilities and security as may be necessary (by whatever name called) which will enable the Client to avail facilities as available in www.canmoney.in services at the Client's cost.
- 3.5 The Client is aware that the CBSL system itself generates Login and Trade Passwords which will be sent to the Client. The Passwords can be used only for first login. The Client agrees and undertakes to immediately create his own Passwords, TPIN through the setting provided and reset the same as and when necessary. The Client is aware that the Passwords, TPIN created and reset by the Client are not known to any one else including CBSL. CBSL shall not be responsible for the Passwords. TPIN as the Client has to create and reset the same through internet/software system.
- 3.6 The client shall be responsible for keeping the Login ID, Login password, Trade Password, TPIN confidential and secured and shall not part with the same to any other person and shall be solely responsible for all orders entered and transactions done by any person whosoever through 'canmoney.in' using the Client's Login ID, Trade Passwords or TPIN or have access to client E-mail, whether or not such person was Authorised to do so.
- 3.7 The Client acknowledges that he/she is fully aware of and understands the risks associated with availing of an On Line Trading for routing orders over the internet and telephone including the risk of misuse and unauthorized use of his/her Login ID, Trade passwords, TPIN by a third party and the risk of a person hacking into the Client's account on Canmoney.in & canmoney mobile app and unauthorized routing of orders on behalf of the Client through the system. The Client agrees that he/she shall be fully liable and responsible for any and all unauthorized use and misuse of his/her Login ID, Login & Trade Passwords, TPIN and also for any and all acts done by any person through the 'Canmoney.in' & canmoney mobile app on the Client's account in any manner whatsoever.
- 3.8 The Client shall immediately on becoming aware, inform CBSL of any unauthorized use of the Client's Login ID, Login & Trade Passwords, TPIN with full details of such unauthorized use including the date of such unauthorized use, the manner in which it was used, the transactions effected pursuant to such unauthorized use, etc.
- 3.9 The Client shall log off from the 'Canmoney.in' & canmoney mobile app whenever the Client is not accessing or using the Service. Any liability incurred by the Client as a consequence of the Client not logging off the Service shall be borne solely by the Client.
- 3.10 The Client shall immediately notify CBSL in writing with full details if (i) he discovers or suspects unauthorized access through his Login ID, Login & Trade Passwords, TPIN (ii) he notices discrepancies that might be attributable to unauthorized access, (iii) he forgets his Login ID, Login & Trade Passwords, TPIN (iv) he discovers a security flaw in the 'Canmoney.in'. In any of the above events specified, the Client shall immediately change his Passwords & TPIN. However, if the Client is unable to change his/her Login Passwords, TPIN having been unauthorizedly changed by some other person or for any other reason then the Client shall immediately request CBSL in writing and follow the instructions given by CBSL. At no point in time shall CBSL be liable for any loss, whether national or actual, that may be suffered by the client on account of the misuse of the Passwords & TPIN.
- 3.11 The Client agrees that orders, instructions and other communication made over the telephone routed through the CBSL's interactive voice response or other telephone system may be recorded by CBSL. The Client also agrees that such recording and CBSL records of any orders, instructions and communications given or made by the Client or CBSL by the fax, E-mail, or other electronic means shall be admissible as evidence.

- 3.12 Client agrees to provide information relating to Clients ID and other personal details as may be required while placing orders on telephone to determine the identity of the Client. Provided however nothing prevents CBSL to accept the instructions from Client over telephone without usage of TPIN and such acceptance of instructions by CBSL will be binding on Client.
- 3.13 The Client agrees and understands that CBSL shall discontinue or alter his services through 'Canmoney.in' & canmoney mobile app in part or entirely and change the terms of Service at any time without prior notice to the Client.
- 3.14 The Client, declares that, he has fully read and understood the terms and conditions of 'Canmoney.in' & canmoney mobile app and agrees to abide by all the terms and conditions mentioned above.
- 3.15 Apart from the above, to avail the value added services, the client is aware of/that.
- (i) separate nomination facility available for mutual funds;
 - (ii) alternate method for transacting with the AMC upon termination of the Rights and Obligations with the Distributor;
 - (iii) The cut-off timing mentioned on the Website is prior to the statutory cut-off timing specified under the SEBI Regulations and the SID/SAI/KIM for operational convenience.

4. Products Offered by CBSL

Trading will be limited to securities that form part of the DEMAT FOR ALL (for institutional as well as retail investors) list prescribed by SEBI.

4.1 DP Services

4.2 The Broking Services shall comprise of one or more of the following distinct Products that may be offered to the CLIENT:

- a) All Trades (more specifically described on www.canmoney.in) for Cash Segment.
- b) Derivatives - All derivative products which may be offered by the Exchange from time to time (more specifically described in website 'Canmoney.in').

4.3 The CLIENT shall select the Products he/she wishes to avail of. CBSL shall, in its absolute discretion agree to offer one or more of the Products selected, by the CLIENT. Based on the CLIENT's selection and CBSL's confirmation of the Products that the CLIENT may avail of, CBSL will determine the Minimum Margin Deposit to be maintained by the client with CBSL and set an authorized limit ("the Limit") or amount of outstanding trades that the CLIENT may have at any given time.

4.4 The Products offered by CBSL to the CLIENT shall be used by the CLIENT on the terms and conditions more specifically described in the website 'Canmoney.in'.

4.5 The procedure for accessing the Trading Site canmoney.in and availing of the Products is set out in website 'Canmoney.in'. It is clarified that the Products may be availed of by the CLIENT by giving instructions to CBSL over the telephone, fax, virtual private network, or the Internet. CBSL reserves the right to modify or cancel any of its products/ offerings at its sole discretion.

5 Brokerage and Taxes:

5.1 CBSL shall be entitled to a brokerage of upto the maximum rate permitted by SEBI, of the value of every transaction that may be undertaken by the CLIENT by using the Broking Service. The rates of brokerage may be revised by CBSL from time to time at its sole discretion and the same will be notified to the client by way of email and publication on the website.

5.2 The CLIENT shall also pay any applicable taxes, including service tax and depository charges that may be levied on any transaction undertaken pursuant to this Rights and Obligations.

6 Lien

6.1 All securities in DP and/or cash balance in the Bank Account shall be subject to a lien for the discharge of any and all indebtedness or any other lawful obligation that the CLIENT may have towards CBSL.

6.2 All of the CLIENT's Securities and/or cash balance and/or any other Assets shall continue to be held by CBSL as security for the payment of any such lawful obligation or indebtedness to CBSL.

6.3 In enforcing its lien, CBSL at its sole discretion may determine which cash balances and/or securities are to be sold or which contracts are to be enforced.

7 Payment

7.1 Time of Payment

7.1.1 The CLIENT shall make all remittances to CBSL (i.e. payment for all purchase transactions plus taxes, brokerage, depository related fees, transaction fees and other charges of CBSL) by the end of trade day. Provided that subject to Clause 7.1.3 a national debit may be made with respect to the Limit on the last day of the Settlement Cycle, notwithstanding that actual payment is due on a later date and such national debit shall be reversed on receipt of payment.

7.1.2 CBSL shall remit funds to the CLIENT (i.e. payment for all sale transactions less taxes, brokerage, depository related fees and transaction fees of CBSL), less any amounts deducted for shortages within the next working day from the pay out date specified by the Exchange/Clearing Corporation / clearing house.

7.1.3 In the event of the CLIENT having made both sales and purchases during a Settlement Cycle on the same Stock Exchange, the amount due from and to the CLIENT shall be netted of and only the difference shall be payable by or to the CLIENT. A national debit or credit as the case may be, made to the Limit at the end of day until the actual payment is made.

7.2 Mode of payment

7.2.1 In the case of a purchase transaction, Client shall remit the funds within the time period provided in the sub clause 7.1.1 above to CBSL from the Clients specified bank account.

7.2.2 In the case of a sale transaction, CBSL shall remit funds to the CLIENT within the time period provided in sub-clause 7.1.2 above, provided the CLIENT has delivered the securities sold to CBSL within the time prescribed in clause 8.1.1 through account payee cheque or transfer of funds into the Designated Bank account of the Client opened with Designated Bank.

8. Delivery of Shares

8.1 Time of Delivery

8.1.1 The CLIENT shall deliver shares to CBSL for all sale trades due for settlement, on or before the trade settlement day. The settlement day for all CLIENT sales will be the pay-in day less one day, where the pay-in day is specified by the exchange clearing house for the relevant settlement period or the trade day whichever is early. All CLIENT sale delivery defaults or shortages will result in auction debits at the exchange clearing house, which will be passed on to & borne by the CLIENT.

8.1.2 CBSL shall deliver shares purchased by the CLIENT on the trade settlement day, except in the cases of delivery shortages from the exchange-clearing house. The settlement day for all CLIENT purchases will be pay-out day plus one day, where the pay-out day is specified by the exchange - clearing house for the relevant settlement period.

8.2 Mode of Delivery

Delivery of securities will involve only transfer of balances with the relevant depository participant.

8.3 Bad Delivery of Shares

8.3.1 Exchange shortage quantities will be settled after the due auction buy-in process at the exchange. All auction shortage closeout credits received from the exchange will be passed on to and borne by the CLIENT.

8.3.2 The CLIENT shall reimburse CBSL for all costs incurred in the auction procedure within 2 business days of the bill received by CBSL in this regard.

9. The Minimum Margin Deposit

Subject to CBSL's rights to appropriate the Minimum Margin Deposit or an appropriate par thereof against its dues, or towards margin money payable by the Client, the Minimum Margin Deposit shall be maintained by CBSL in a ledger account of the customer in its books. In the event of the Client being required to pay margin money whether under the rules of any Stock Exchange or SEBI or as otherwise determined by CBSL, CBSL shall be authorised to appropriate the Minimum Margin Deposit or any part thereof, towards such margin requirement. The Client shall immediately replenish funds adequate to the required level of the Minimum Margin Deposit, failing which the Broking services may be suspended by CBSL.

10 Confirmations and Cancellations

10.1 If the Client has opted for receipt of Contract Note in the digital form, the member broker would upload the digital contract notes on the website and/or send an email to designated e-mail ID of the Client. The same shall be deemed to be received by the Client provided there is no bounced mail notification received by CBSL. The Client is aware that it is his responsibility to review the trade, confirmation, contract notes, bills or statement of account immediately upon their receipt. All information contained therein shall be binding upon the Client, if the Client does not object in writing to any of the contents of such trades, confirmations, contract notes, bills to the member broker within prescribed time limit as specified by the exchange/s. All transactions undertaken by the Client via Internet during Trading Hours shall be confirmed to the CLIENT as per notification option opted for by the CLIENT via e-mail. The digital contract notes sent to Client's designated e-mail ID would be the original contract notes delivered to the Client. However, copy of the digitally delivered contract note may be issued by CBSL upon specific request by the client. The Client shall note that such copies are only copies of the validly delivered contract notes. CBSL may levy appropriate charges for duplicate copies so issued. (Only for physical contract note).

10.2 The CLIENT agrees that the information sent by CBSL by e-mail is deemed to be a valid delivery of such information by CBSL to the CLIENT provided there is no bounced mail notification received by CBSL. In the event the CLIENT does not receive any confirmation from CBSL, whether by e-mail or printed contract note, by the end of the next Business Day following the date on which the order is placed, the CLIENT shall make inquiries with CBSL on the status of the order.

The CLIENT further agrees as follows:

- a. CBSL shall have the right to refuse to accept any buy or sell transaction or order from the CLIENT without providing any reasons thereof provided that CBSL shall immediately inform the CLIENT of any such decision.
- b. Without prejudice to the generality of the above, the CLIENT is aware that CBSL has provided on the web site a facility for reconfirmation of orders, which are larger than that specified by CBSL's risk management policy and that CBSL has the discretion to reject the execution of any orders based on its risk perception.
- c. CBSL shall not be liable for non-execution of any order or for any delay in the execution of any purchase or sale order or for any resultant loss on account of such non-execution or delay, due to failure of link/system at the CLIENT/CBSL/Exchange end.
- d. CBSL shall, at its sole discretion subject any sale or purchase order placed by the CLIENT to manual review and entry or other verification process, which may cause delays in the processing of the CLIENT's orders.
- e. The CLIENT will receive the price at which his order is executed in the market place, which may be different from what is traded when his order is entered into the system.
- f. The client shall inform CBSL if he does not receive confirmation of trade under section 10.1

11. Investment Advice

- 11.1 The CLIENT acknowledges that CBSL shall not be liable to provide him/her with any legal, tax or accounting advice or advice regarding the suitability or profitability of a security for investment.
- 11.2 The CLIENT also acknowledges that CBSL's employees are not authorized to give any such advice and that the CLIENT will not solicit or rely upon any such advice from CBSL or any of its employees.
- 11.3 Any information or recommendations provided by CBSL in addition to the Broking Service shall not be construed as investment advice given by CBSL to the CLIENT.

12. Representations and Warranties **Representation and Warranties of the CLIENT**

- 12.1 The CLIENT agrees that the gross exposure computation norms, the resulting authorized trade limit for the CLIENT, the Minimum Margin Deposit requirement for each Product are discretionary parameters that may be set by CBSL, at its sole discretion without having to provide any reasons for the same.
- 12.2 The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system. Accordingly the CLIENT undertakes to ensure that the Password and Username are not revealed to any third party and shall ensure that no third person other than his authorized representative gains access to it.
- 12.3 The CLIENT agrees that CBSL may, in its absolute discretion, issue a new password to the CLIENT on the terms and conditions stated herein or on such terms and conditions as CBSL may deem fit.
- 12.4 The CLIENT agrees that CBSL may, suspend the Broking Service in whole or in part, at any time without prior notice if the CLIENT does not comply with any of the terms and conditions of this Rights and Obligations.
- 12.5 The CLIENT shall take responsibility for all the transactions conducted by using the Broking Service and will abide by the record of transactions generated by CBSL. Such records generated by CBSL shall be proof for all purposes and may be used as evidence in any proceedings. In particular it shall not be an option to the CLIENT to contend or to try and avoid a transaction on the allegation that a trade conducted on its Account using the Password allotted to the CLIENT was not a transaction done by or on behalf of the CLIENT.
- 12.6 The CLIENT agrees that in the event of death or insolvency of the CLIENT or his otherwise becoming incapable of buying and paying for or delivering or transferring securities which the CLIENT has ordered to be bought or sold, CBSL may close out the transaction of the CLIENT and the CLIENT or his legal representative shall be liable for any losses, costs and be entitled to any surplus which may result therefrom.
- 12.7 The CLIENT agrees that any instruction issued by an authorized representative of the CLIENT shall be binding on the CLIENT in accordance with the letter authorizing the said representative to deal on behalf of the CLIENT and shall be as per applicable laws, rules & regulations of Exchange/SEBI.
- 12.8 The CLIENT agrees that if the relevant Stock Exchange cancels a trade suo-moto without giving any reason thereof, CBSL shall be entitled to cancel relative contract(s) with the CLIENT.
- 12.9 The CLIENT has the legal capacity to enter into this Rights and Obligations and has taken all corporate and other action necessary and obtained all required consents to enable it to enter into this Rights and Obligations and this Rights and Obligations constitutes legal, valid and binding obligations of the CLIENT enforceable against the CLIENT in accordance with its terms.
- 12.10 The CLIENT confirms and undertakes that none of the monies paid to or deposited by the CLIENT with CBSL is or shall be tainted with any form of illegality.

13. Indemnities

The CLIENT shall indemnify CBSL for all transactions undertaken on its behalf by CBSL and in particular shall not hold CBSL liable for the following.

- 13.1 For any transactions using the Broking Service carried out in good faith by CBSL on instructions issued by or on behalf of the CLIENT.
- 13.2 For the unauthorized usage/unauthorized transactions conducted by using the Broking Service and/ or the CLIENT's Account and/or Password.
- 13.3 For any loss or damage incurred or suffered by the CLIENT due to any error, defect, failure or interruption in the provision of the Broking Service arising from or caused by any reason whatsoever beyond CBSL's control.
- 13.4 For any negligence/mistake or misconduct by the CLIENT.
- 13.5 For any breach or non-compliance by the CLIENT of the rules/terms and conditions stated in this Rights and Obligations.
- 13.6 For not carrying out any such instructions where CBSL has reason to believe that the instructions given are not genuine or are otherwise improper, unclear, vague or raise a doubt or that the Minimum Margin Deposit or margin requirement to process a transaction is not there.
- 13.7 For any incidental, consequential, special or indirect damages including but not limited to national profits, trading losses, or damages that result from inconvenience, delay or loss of the use of the Service even if CBSL has been advised of the possibility of such damages.

14. Confidentiality

- 14.1 CBSL shall keep the information relating to the transactions of the CLIENT using the Broking Service confidential. Provided, however, that CBSL is entitled to disclose any information or particulars pertaining to the CLIENT to any authority, statutory or otherwise as may be required by law.
- 14.2 The Client is aware that CBSL can tape-record the conversation between the Clients representative and the Member, either personally or over the telephone, and hereby specifically permits the member to do so. Such recordings may be relied upon by the CBSL as and when required to resolve disputes in connection with the trading transactions.

15. Acting as a Sub Broker / Authorised Person

The client agrees not to act as a Sub Broker or Authorised Person without prior written permission of CBSL and without obtaining certificate of registration from SEBI/Exchange.
The client further agrees not to issue bills/contracts/confirmation notes to anyone else for trades done in the client account.

16. Placement of orders

Considering the practical difficulties in placing written orders, the client hereby requests CBSL to accept the orders placed orally over telephone.

17. Change of address

The client agrees to inform the change of communication address to the company and request in writing providing the necessary documentary proof for effecting the change.

18. Miscellaneous

CBSL and/or its agents will not be liable for losses caused directly or indirectly by Government restriction, Exchange or market rulings, suspension of trading, computer or telephone failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, strikes or any other conditions beyond CBSL's control.

This document can be altered, amended and / or modified by the parties mutually in writing without derogating from the contents of this document. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

I/We hereby expressly agree to abide by these voluntary clauses in addition to the mandatory documents as prescribed by the SEBI/Exchanges.

x18

Signature of Sole/1st Holder
in Demat Account

Date: _____

To,
Canara Bank Securities Limited
7th Floor, Maker Chamber III,
Nariman Point, Mumbai - 400 021.

Dear Sir / Madam,

Sub.: Authorisation for Electronic Contract Note (ECN) & other documents.

With reference to Client Registration documents executed between us, I/We hereby authorize you to do the following:

I/We have been / shall be dealing through you as my / our broker on the Capital Markets and/or Future and Option Segments and / or currency derivatives segment. As my / our broker i.e. agent I / We direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I / We understand that, I / we have the option to receive the contract notes, bills, margin calls, Client Margin information, Statement of Accounts / Ledger and Security Balance Confirmation in physical form or electronic form. In pursuance of the same, I / we hereby opt or receipt of contract notes, bills, margin calls, Client Margin Information, Statement of Accounts / Ledger and Security Balance Confirmation in electronic form. I/ We understand that for the above purpose, you are required to take from the client "an appropriate email account: for you to send electronic contract notes. Accordingly, please take note of my email id _____ on your record for sending the contract notes and other documents to me / us.

I / We agree not to hold you responsible for late / non - receipt of contract notes, bills, margins calls, Client Margin information, Statement of Accounts / Ledger and Security Balance Confirmation sent in electronic form and any other communication for any reason including but not limited to failure of email server, loss of connectivity, email in transit etc which is beyond CBSL's control. I / we agree that the log reports of your dispatching software shall be a proof of dispatch of contract notes, bills, margin calls, Client margin information, Statement of Accounts, Ledger and Security Balance Confirmation to me / us.

I / We also agree that non - receipt of bounced mail notification by you shall amount to delivery at my email account(s) / email id(s).

I / We understand that I / we am / are required to intimate any change in the email id / email account mentioned hereinabove needs to be communicated by me / us either through a physical letter to you or through the email id already registered with the company. In respect of internet client, the request for change of email id may be made through the secured access by way of client-specific user id and password. Please treat this authorization as written ratification of my / our verbal directions / authorizations given and carried out by you earlier. I / We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

(x19)

Signature of Sole/1st Holder
in Demat Account

Client's Name: _____

[Note: To be signed by client himself/herself and not by his/her attorney/authorized person etc.]

Date: _____

To,
Canara Bank Securities Limited
7th Floor, Maker Chamber III,
Nariman Point, Mumbai - 400 021.

Dear Sir / Madam,

Sub.: Running Account Authorization

I/We _____ having Client Code _____ are dealing through you as a client for BSE/NSE in Capital Market and / or Future & Option segment and / or Currency Derivatives Segment & in order to facilitate ease of operations and upfront requirement of margin for trade. I / We authorize you as under:

1. I / We request you to maintain running balance in my account & retain the credit balance in any of my / our account and to use the unused funds towards my / our margin / pay-in / other future obligation(s) at any segment(s) of any or all the Exchange(s) / Clearing corporation unless I/we instruct you otherwise.
2. I / We request you to retain securities with you for my / our margin / pay in / other-future obligation(s) at any segment(s) of any or all the Exchange(s) / Clearing Corporation, unless I / We instruct you to transfer the same to my / our account.
3. I/We request you to settle my/our funds and securities account once in every calendar Quarter / Month (strike out whichever is not applicable) or such other higher period as allowed by SEBI / Stock Exchange time to time except the funds given towards collaterals / margin in form of Bank Guarantee and / or Fixed Deposit Receipt.
4. In case I / We have an outstanding obligation in derivative market / currency derivative market on the settlement date, apart from margin liability you may retain additional margins (maximum up to 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 trading days.
5. In respect of Cash Market transactions, you may retain entire pay-in obligation of funds and securities due from me/us as on date of settlement. Further, for next day's business, you may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement in the cash market only.
6. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing preferably within 7 working days from the date of receipt of funds / securities or statement of account or statement related to it as the case may be at your registered office.
7. I/we authorise you to retain an amount of Rs. 10,000/- (Net amount across segment and across stock exchanges) to address the administrative/operational difficulties in settling the accounts.

I/we, however, reserve my/our right to revoke this authorization at any time in writing

Yours faithfully,

(x20)

Signature of Sole/1st Holder
in Demat Account

Client's Name: _____

[Note: To be signed by client himself/herself and not by his/her attorney/authorized person etc.]

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POWER OF ATTORNEY & INSTRUCTIONS

TO ALL TO WHOM THESE PRESENTS SHALL COME:

INDIVIDUALS

- (1) Mr / Ms _____ (Sole/First Holder in Demat A/c) having
I.T. PAN No. _____ S/o, D/o, W/o _____ Aged _____ having
Residence/Office at _____
- (2) Mr / Ms _____ (2nd Holder in Demat) having
I.T. PAN No. _____ S/o, D/o, W/o _____ Aged _____ having
Residence/Office at _____
- (3) Mr / Ms _____ (3rd Holder in Demat) having
I.T. PAN No. _____ S/o, D/o, W/o _____ Aged _____ having
Residence/Office at _____
- (4) Mr / Ms _____ (Other Joint Holder in Bank A/c) having
I.T. PAN No. _____ S/o, D/o, W/o _____ Aged _____ having
Residence/Office at _____

NON-INDIVIDUALS

M/s _____ HUF/a sole proprietary concern / a partnership firm /LLP/ a body corporate/ a trust, registered/incorporated under the provisions of Indian Partnership Act, 1932 / Companies Act, 1956/ Companies Act, 2013/Indian Trust Act, 1882/Bombay Trust Act 1956, having its registered office at _____ and having its corporate office at _____ represented duly by A/c holder / Karta, Mr / Mrs _____ (Hereinafter called the "**Client(s)**") which expression shall, unless it be repugnant to the context or meaning thereof, be deemed mean and include his/her/its successors, lawful attorneys and heirs)."

WHEREAS

1. The Client(s) has/ve executed client Registration Form (for opening an Online Trading and a DEMAT Account) along with Mandatory documents as prescribed by SEBI, Bombay Stock Exchange (BSE), National Stock Exchange (NSE), National Securities Depository Limited (NSDL) and the Account Opening Documents with Canara Bank Securities Limited (CBSL), a company incorporated under

(x21)

Signature of Sole / 1st Holder in Demat Account

Signature of 2nd Holder in Demat Account

Signature of 3rd Holder in Demat Account

Signature of Other Joint Holder in Demat Account

Companies Act, 1956 having registered office at 7th Floor, Maker Chambers - III, Nariman Point, Mumbai-400021, (I.T. PAN: AAACG2218H) (hereinafter referred to as "**the Attorney**") for the purpose of brevity, which expression shall, unless repugnant to the meaning or context thereof be deemed to mean and include its successors.

2. The above said Client(s) is/are desire us of entering into a broking relationship and availing the trading/DEMAT facilities offered by the Attorney in its capacity as a SEBI Registered Broker to invest and/or trade in shares and/or securities, make investments and enter into various transactions as mentioned in the Account Opening Documents in its capacity as a Depository Participant for holding the Client's securities in its DEMAT form. The Client(s) has/have in this regard agreed to the terms and conditions mentioned in the said Account Opening Documents.
3. The Client(s) holds/proposes to hold a Bank Account in the name of the individual/joint/HUF/Trust/Proprietary/Partnership/LLP/Corporate, the details of which are listed in **Schedule A** to this Power of Attorney.
4. The Client(s) also holds /proposes to hold a DEMAT account with the Depository Participant as detailed in Schedule A and is desirous of using the same in order to facilitate trading through the trading account with the Attorney. The Bank Account and the DEMAT Account shall be collectively referred to as the "**Client's Accounts**").
5. The Client(s) are investor(s) engaged in subscribing to and buying/selling of share, securities and/or dealing in derivative products/and exchange traded funds and other financial products and services through and/or with the Attorney.
6. For availing the above facilities from the Attorney, the Client(s) are desirous of authorizing the Attorney to operate the Bank Account maintained with Bank and its DEMAT Account with the Attorney.
7. The Client(s), to facilitate proper execution of the Client's transactions under the arrangement with the Attorney and for availing services, due to exigency and paucity of time, are desirous of appointing the Attorney as an attorney on their behalf for the purpose of executing instructions, orders, requests and/or handling obligations and operate the Client's Accounts for the limited purposes as authorized under this Power of Attorney and in the manner hereinafter appearing.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT CLIENT(S) ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE AND APPOINT Canara Bank Securities Limited (CBSL), the Attorney acting through any of its duly authorized officers or employees or duly authorized agent as my /our true and / lawful constituted attorney and authorize /appoint and nominate the Attorney in my/our names / and on my/our behalf from time to time to do or exercise or caused to be done or exercised all or any of the following acts, powers and authorities, deeds or things mentioned hereunder :

Definitions:

Words used in this Power of Attorney beginning with capital letters shall have the meanings assigned hereunder :

Account Opening Documents shall mean Client Registration Form (for opening an Online Trading and a DEMAT Account) along with Mandatory documents as prescribed by SEBI, Bombay Stock Exchange (BSE), National Stock Exchange (NSE) and National Securities Depository Limited (NSDL) and any other document that may be necessary/recommended by the Attorney.

(x22)

Signature of Sole / 1st Holder in Demat Account

Signature of 2nd Holder in Demat/Bank Account

Signature of 3rd Holder in Demat/Bank Account

Signature of Other Joint Holder in Demat/Bank Account

SEBI shall mean Securities Exchange Board of India

NSE shall mean National Stock Exchange

BSE shall mean Bombay Stock Exchange

Bank shall mean the Bank in which the Client(s) holds the Bank Account more particularly mentioned in Schedule A.

Bank Account shall mean the bank account held by the Client(s) proposed to be used for the purpose of trading/investment activities of the Client(s), details of which are more particularly mentioned in Schedule A.

DEMAT Account shall mean the account held by the Client(s) with the Attorney to invest and/or trade in shares and/or securities, make investments and enter into various transactions as mentioned in the Account Opening Documents more particularly mentioned in Schedule A.

Depository Participant shall mean the Attorney.

NSDL shall mean National Securities Depository Limited

1. The Client(s), hereby authorize/s the Attorney to sign the delivery instruction slips and instruct the concerned depository participant(s) and/or bank(s) to transfer the securities and/or funds available in the Bank Account and the DEMAT Account of the Client(s) on behalf of the Client(s) in order to meet the settlement obligations and margin requirements for the transactions done in the Client's Account.
2. The powers granted to the said Attorney are limited to the extent mentioned below:
 - a. to register this Power of Attorney with the said bank/issuer/register to the issue, with the Attorney in its capacity as the Depository Participant and/or with any other party or authority as may be necessary;
 - b. to the transfer/debit of funds from the said Bank Account and securities from the DEMAT Account of the Client(s) to the credit of Bank Account and the DEMAT Account and of the Attorney and/or to the accounts of the designated custodians, clearing houses/corporations and stock exchanges for the purposes mentioned herein. The particulars of the Attorney's Accounts are mentioned in the Annexure - I to this Power of Attorney (hereinafter referred to as the "**Broker's Accounts**")
 - c. to submit information available relating to the Client(s) to any government authority, regulatory or statutory authorities and complete, sign and submit any applications or documents for any approvals or for any other reason whatsoever that may be necessary or desirable to perform any of the acts listed in this Power of Attorney.
 - d. to transfer securities from the said DEMAT Account towards stock exchange related margin/delivery obligations arising out of trades executed by the Client(s) on the recognized stock exchanges through the said Attorney.
 - e. to block, hold, debit and/or create pledge, lien or create hypothecation on any of the securities available in the Client's DEMAT in its own favour and/or in favour of the designated custodians, clearing houses/corporations and stock exchanges or any other entity for the limited purpose of meeting the settlement obligations/margin requirements of the Client(s) in connection with the trades executed by the Client(s) on the stock exchange through the Attorney.
 - f. to give instructions for issuing fresh delivery instructions slips and receive the same on behalf of the Client(s) as and when required;

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Signature of Sole / 1st Holder in Demat Account

Signature of 2nd Holder in Demat/Bank Account

Signature of 3rd Holder in Demat/Bank Account

Signature of Other Joint Holder in Demat/Bank Account

- g. to apply for, subscribe and/or redeem various products like mutual funds, public issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers or any other investment products pursuant to and in accordance with the instructions of the Client(s) to take such steps as are necessary for subscription/purchase/redemption of securities as is instructed by the Client(s).
 - h. To do all such acts, deeds and things as may be required from time to time to ensure that all the deliveries of the securities arising out of the transactions undertaken by the Client(s) through the Attorney are duly and properly completed;
 - i. The Attorney is authorized to send/receive communications, instructions, statements, requisitions, acknowledgments etc. in connection with the aforesaid instruments to various parties including the company issuer, registrar and transfer agent, asset management company trustee, stock exchange, governemnt/statutory authority etc. Additionally, the Attorney shall send the following communications to the Client(s) by way of SMS / email to the Client's mobile/email ID as may be furnished in Know Your Customer Application form to be registered with the Attorney"
 - i. consolidated summary of scrip wise buy and sell positions taken with average rates to the Client(s), notwithstanding any other document to be disseminated as specified by SEBI/Exchanges from time to time;
 - ii. information/ alerts to Client(s) by the Attorney and Exchanges, notwthstanding any other document to be disseminated as specified by SEBI from time to time.
 - j. To sign, execute all the necessary documents / papers / instruments / forms / deeds / bonds / redemption request instruction slips required for the above purposes;
 - k. to do all such acts or deeds which the Attorney may in its sole discretion consider necessary in this connection with the above, in order to complete the transaction so however, that nothing herein shall preclude the Client(s) from operating the Bank Account and the DEMAT Account.
3. The Attorney is authorized to operate/block/transfer the funds from the Bank Account of Client(s):
- a. for meeting the settlement obligations/margin requirements of the Client(s) in connection with the trades executed by the Client(s) on the stock exchange through the said Attorney.
 - b. for recovering any outstanding amount due from the Client(s) arising out of Client(s) trading activities on the stock exchanges through the said Attorney.
 - c. for meeting obligations arising out of the Client(s) subscribing to such other products/facilities/services through the said Attorney like mutual funds, public issues (shares as well as debentures), rights, offer of shares etc. However, upon non-allotment/ part allotment against the application of the Client(s), the Attorney shall credit the refund amount in the Bank Account.
 - d. towards funds/fees/charges, etc. due to the stock broker/Depository Participant, payable by virtue of the Client(s) using/subscribing to any of the facilities/services availed by he Client(s) at his/her instance.
4. For the purpose of (3) above, the Attorney is hereby authorized to draw, endorse and sign cheques/demand drafts, withdraw, transfer or deposit funds and issue necessary instructions including electronic instruction or otherwise operate the Client's Bank Accounts in such manner as the Attorney may deem fit.

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Signature of Sole / 1st Holder in Demat Account

Signature of 2nd Holder in Demat/Bank Account

Signature of 3rd Holder in Demat/Bank Account

Signature of Other Joint Holder in Demat/Bank Account

5. The particulars of DEMAT Account and the Bank Account mentioned in Schedule A and Schedule B may be added/appended/alterd according to the future business requirements and only with the mutual written consent of the Client(s).
6. The Attorney shall be obligated to immediately inform the Client(s) and return to the Client(s), the securities or funds that may have been received by the Attorney erroneously or those securities or funds that the Attorney was not entitled to receive from the Client(s). However, the Attorney shall continue to hold in full force and effect such funds/securities The Attorney shall not acts on any instructions received subsequent to the receipt of intimation of the death of the Client(s);
7. The Client(s) are aware that only Account holder/s will be entitled to the Login, Login ID, Login Password, Trade Password, Telephone Identification No. (TIN), Telephone Personal Identification Number (TPIN) and all other properties /materials connected with the Client's Accounts. Further, the powers given under this Power of Attorney shall have over-riding effect to ensure that the mandate/instructions given by the Client(s) are complied and for this purpose the Attorney is empowered to credit/debit, amount/quantities of securities from the Client's Bank Account and DEMAT Account mentioned above. In the event of any instructions being provided to the Attorney which would in any manner prejudice any funds blocked by the Attorney, the Attorney is hereby empowered and shall be entitled to transfer such funds from the said blocked funds to the Attorney ("**Forced Transfer**"). The Attorney shall not in any manner be responsible or liable for the consequences of such Forced Transfer including where such Forced Transfer, results in dishonor by the Bank of cheque is issued by the Client(s) or where despite such transfer, the corresponding securities are not delivered to the Client(s).
8. The Client(s) understands that this Power of Attorney shall be revocable at any time in writing.
9. The Client(s) further agrees and confirms that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked. Such revocation shall not be applicable for any outstanding settlement obligation arising out of the trades carried out by the Client(s) prior to such revocation of this Power of Attorney.
10. All disputes arising out of this Power of Attorney shall be subject to the jurisdiction of the Courts in Bengaluru, India.

And the Client(s) hereby confirm and ratify all acts, matters things, deeds done by the said Attorney on behalf of the Client(s) in their name pursuant to the powers and authority granted hereto as if the same were done by the Client(s).

And the Client(s) hereby agree and confirm that any instructions issued by the Attorney in the name of the Client(s) or on their behalf to the Bank/Depository Participant shall be binding in the Bank/Depository Participant as the case may be who shall be fully entitled to act on the same. This Power of Attorney and until such time authorization given hereunder shall not be affected by the lapse of time. It shall continue in full force and effect until the attorney shall receive intimation of such revocation, or in the event of the termination thereof by the death of the Client(s) until the attorney shall have received actual intimation thereof, and such revocation, or termination shall in no way affect the validity of this Power of Attorney, with reference to any transaction initiated by the Client(s) pursuance to this Power of Attorney, prior to the actual receipt by the attorney of intimation of such revocation or termination as above provided.

In case of revocation of this Power of Attorney, the Attorney, may terminate the online trading facility, if any, offered to the Client(s) and the Client(s) undertakes to pay all necessary charges, expenses etc. consequent to such termination.

This Power of Attorney shall come into force upon its acceptance by the Attorney.

<p>x25</p> <p>Signature of Sole / 1st Holder in Demat Account</p>	<p>Signature of 2nd Holder in Demat/Bank Account</p>
<p>Signature of 3rd Holder in Demat/Bank Account</p>	<p>Signature of Other Join Holder in Demat/Bank Account</p>

INSTRUCTIONS:

1. The Client(s) agrees to ensure that at all times he/it shall make available sufficient funds/securities in the Client's Accounts for the purpose of effecting the transactions carried out pursuant to the documentation and shall not without prior written consent of the Attorney close such Client's Account or directly or indirectly operate or give instructions in respect of any Client's Accounts which may prejudice the Attorney's rights under the Account Opening Documents or the Transactions undertaken thereunder or any power or authority exercisable by the Attorney under the above Power of Attorney or which would be contrary to the provisions of the Account Opening Documents or any acts by the Attorney pursuant to the above Power of Attorney.
2. In the event of change in the number, nature or securities and/or the ISIN number of securities (during any period in which the securities are blocked pursuant to the aforesaid power of attorney) as a consequence of any corporate action of the concerned company implemented by the Depository, the Attorney shall be entitled to accordingly modify the block created to accommodate the changes in the ISIN number, the number, nature/quantity of securities maintained in the block at the same percentage of the share capital of the company concerned and as was originally blocked.
3. In the event of any overriding instructions by any court of law resulting in any unavailability of securities, the Attorney shall not be obligated to perform or act under this Power of Attorney with respect to such instructions. Provided that in the event that free and clear securities are available with the Attorney even after performance of such over-riding instructions, the Attorney shall be entitled to appropriate the securities on a first block basis. Priority shall be given amongst various security traders/brokers on the basis of timing and date of blocking. The person in whose favour the first block is created shall be given first priority in terms of delivery of such free and clear securities.
4. In case of death, disability, insolvency, winding up or liquidation of any one or more of the Client(s) or the joint holders and the surviving joint holders and heirs, nominees, executors, administrators, successors and legal representatives of the account holders who have died, disabled, dissolved, been adjudged insolvent, wound up or liquidated forthwith inform the Attorney in writing. In such an event, the Attorney shall have the authority to immediately freeze the associated accounts and the Power of Attorney and the instructions contained herein shall be revoked forthwith. The Attorney in such event will be obligated to follow act as per the letters of succession/letter of Administration of the estate/probate as may be the case.
5. The Client(s) agrees that if any of the Client's Accounts, instructions given by the Client(s) to the Attorney to debit or transfer funds or securities from the Client's Bank Account in connection with any of the transactions entered in to and/or to be entered in to by the Client with or through the Attorney will be given first priority over any other instructions or cheques (whether prior or subsequent) given or issued by the Client(s) by itself or through any other attorney.
6. In case of any merger/demerger/ sale of business of the Attorney with any other entity or into another entity prior intimation shall be given to the Client(s). In such a situation, the Client(s) agrees to continue its relationship with the merged entity and the powers granted herein shall be deemed to have been granted to such new/merged, demerged entity and the Client(s) agrees to execute all such documents/forms/fresh powers of the Attorney (if and as may necessary) to effectuate such transfer. However, if such relationship is prejudicial to the Client(s), then the Client(s) shall have a right to terminate this Power of Attorney at such time.

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Signature of Sole / 1st Holder in Demat Account

Signature of 2nd Holder in Demat/Bank Account

Signature of 3rd Holder in Demat/Bank Account

Signature of Other Joint Holder in Demat/Bank Account

SCHEDULE A
List of Client(s) Accounts
Beneficiary account(s) of dematerialized securities

Account Title	BOID	DPID	DP/Branch Name
		IN301356	Canara Bank Securities Limited

Banking Account (s)

Account Title	Account No	MICR/IFSC	Bank/Branch Name
<input type="checkbox"/> Saving Account			
<input type="checkbox"/> Current Account			

IN WITNESSETH WHEREOF the Account Holder/s has/have put his hand this _____ day of _____ 20____

Signed and delivered by:

1. _____ (Name)	<div style="border: 1px solid black; padding: 2px; display: inline-block;">x27</div> Signature of Sole / 1st Holder in Demat Account
2. _____ (Name)	Signature of 2nd Holder in Demat/Bank Account
3. _____ (Name)	Signature of 3rd Holder in Demat/Bank Account
4. _____ (Name)	Signature of Other Joint Holder in Demat/Bank Account

(Non Individuals affix Seal and Sign)

**In the presence of:
Witnesses:**

Signature of Witness 1

Name :
Address :

Signature of Witness 2

Name :
Address :

Accepted
For **Canara Bank Securities Limited**

Authorised Signatory
Date :
Place

ANNEXURE - I
List of Brokers Accounts
Beneficiary account(s) of dematerialized securities

EXCHANGE	Account Title	BO ID	DP ID	DP Name	Purpose of Account
NSE	CM POOL A/c	20264164	IN301356	Canara Bank Securities Ltd.	Security Settlement
	CM POOL A/c	00366591	16010100	Stock Holding Corp of India Ltd.	Security Settlement
BSE	CM POOL A/c	20264172	IN301356	Canara Bank Securities Ltd.	Security Settlement
	CM POOL A/c -Payout	00366627	16010100	Stock Holding Corp of India Ltd.	Security Settlement
	CM POOL A/c -Payin	00366612	16010100	Stock Holding Corp of India Ltd.	Security Settlement

Banking Account (s)

Account Title	Account No.	MICR/IFSC	Bank / Branch Name
CURRENT A/C	2426201041012	400015110	CANARA BANK Stock & Commodity Exchange Branch MUMBAI

**CHECK-LIST OF DOCUMENTS TO BE OBTAINED FOR OPENING OF
DEMAT-CUM-TRADING ACCOUNT**

DOCUMENTS REQUIRED	Whether submitted	
	Yes	No
Account Opening form, duly signed on pages marked (X)		
Policies & Procedures		
Power of Attorney, duly filled up and signed by all the a/c holders		
Tariff Sheet		
Voluntary Document		
Authorisation for ECN, Running Account Authorisation.		
Authorised Signatory has Signed on Respective Pages Has Mentioned on Cover Page		
SUPPORTING DOCUMENT REQUIRED		
(A) For Identity Proof :		
Photocopy of PAN Card with Photo (Mandatory)		
(B) For Address Proof : (Verified copy of any one of the following)		
Passport / Voter ID / Driving License		
Bank Statement / Registered Rent Agreement / Ration Card		
Telephone Bill* / Electricity Bill* / Insurance Policy (* Not older than 2 months)		
(c) For Income Proof : (To avail derivatives segment)		
ITR Acknowledgement/Annual Accounts / Form 16 in case of salary income / Salary slip		
Net worth certificate		
Bank account statement for last 6 months/Demat account Holding statement.		
Any other relevant documents substantiating ownership of assets.		
Self declaration along with relevant supporting documents.		

Completely filled in application along with supporting documents to be sent to :

Canara Bank Securities Ltd.

51, Stock Exchange Towers, 1st Floor, 1st Cross, J.C. Road, Bengaluru - 560 027.

Tel : 080-22271211 Email : dpcustomer@canmoney.in

Account opened by Signature

Account checked by Signature

Canara Bank Securities Ltd.

A WHOLLY OWNED SUBSIDIARY OF CANARA BANK



Toll free No. 1800 22 0369 (BSNL & MTNL) 1800 103 1369 (Airtel)

Telephone Nos : 022 2280 2471 - 475, 4360 3871-875 (F/O)

022 2280 2451 - 454, 4360 3854-854 (B/O)