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Scan here to
open account
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 ☐

CLIENT REGISTRATION FORM

(DEMAT - CUM - ONLINE TRADING)

SEBI Registration Number : INZ000279135

Depository Participant : IN-DP-300-2016

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 23 i.e. (X1) to (X23)).
7. Pages Branch Officials / Authorised Personal has to Sign. Page 7 (KYC Verified) Page 10 (Signature of Witness) Page 13 (In person Verification) Page 15 (Introducer Details) Page 16 (Docs. Verified by, Client Interviewed by, IPV Done by).
8. Debit Authorisation 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
- * Utility bill which is not more than 2 months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- * Property or Municipal tax receipt.
- * Pension of family payment orders (PPOs) issued to retired employees of Government Departments or Public Sector Undertakings, if they contain the address.
- * Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.

❖ 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.

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	2-7
		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	08-16
2.	Tariff sheet	A. Tariff for Beneficial Owner Demat Account	17
		B. Tariff for Online Trading Account	18
3.	Policies & Procedures	Document describing significant policies and procedures of the stock broker.	19-20
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER/DEPOSITORY PARTICIPANT			
4.	Voluntary Clauses	This Document contains additional clauses between client and broker	21-25
5.	Voluntary Clauses	Authorization for Electronic Contract Note (ECN) & Other Documents	26
6.	Voluntary Clauses	Authorization for Running Account	26
7.	Most Important Terms and Conditions (MITC)	Annexure - A - For non-custodial settled trading accounts	27
8.	Debit Authorisation	This document is executed to authorise Canara Bank Securities Limited to transfer funds of the clients upon execution of trade.	28
9.	Demat Debit and Pledge Instruction (DDP)	Document seeking authorization by client to the stock broker, to access the demat account of the client for specified purposes only.	29

Name of depository participant/stock broker/trading member/clearing member:
CANARA BANK SECURITIES LTD.

SEBI Registration Number : INZ000279135

Depository Participant : IN-DP-300-2016

Research Analyst : INH 000001253

Regd. & Correspondence Office Address :

7th Floor, Maker Chambers III, Nariman Point, Mumbai - 400 021.
Tel : 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 : **Dhananjay Kumar Sinha** | Tel : 022-22802421/43603821 | Email : md@canmoney.in

Compliance Officer : **Malvika Bajpai**, 022-22802415/43603815 | compliance@canmoney.in

For Dp related dispute / grievance please write to us at :- dpcustomer@canmoney.in
Tel : 080 22271211 / 22291697 / 22116082 / 22105148

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

**THIS PAGE IS INTENTIONALLY
KEPT BLANK**

For office use only
(To be filled by financial institution)

Application Type*

☐ New

☐ Update

KYC Number

☐

☐

☐

☐

☐

☐

☐

☐

☐

☐

☐

☐

☐

(Mandatory for
KYC update request)

Account Type*

☐ Normal

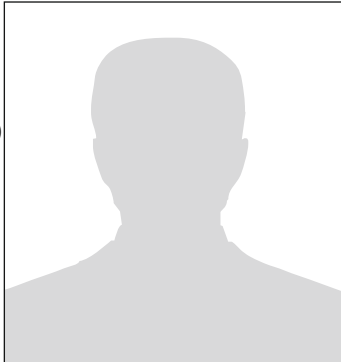
☐ Simplified (for low risk customers)

☐ Small

☐ **1. Personal details**

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Maiden Name (If any*)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Father / Spouse Name*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Mother's Name*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PAN No.*	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Date of Birth*	<input type="checkbox"/> D <input type="checkbox"/> D <input type="checkbox"/> M <input type="checkbox"/> M <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y <input type="checkbox"/> Y			
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="checkbox"/> <input type="checkbox"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector)			
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)			
	<input type="checkbox"/> B -Business			
	<input type="checkbox"/> X-Not Categorised			

Photo



x1

Signature of
Sole/1st Holder in demat Account

☐ **2. Proof of identity (Pol)***

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

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

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

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 3 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

☐

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

☐

Place/City of Birth*

☐

ISO 3166 Country Code of Birth*

☐

☐ **4. PROOF OF ADDRESS (PoA)***

☐ **4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS**

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

Address Type*	<input type="checkbox"/> Residential / Business	<input type="checkbox"/> Residential	<input type="checkbox"/> Business
	<input type="checkbox"/> Registered Office	<input type="checkbox"/> Unspecified	
Proof of Address*	<input type="checkbox"/> Passport	<input type="checkbox"/> Driving Licence	<input type="checkbox"/> UID (Aadhaar)
	<input type="checkbox"/> Voter Identity Card	<input type="checkbox"/> NREGA Job Card	<input type="checkbox"/> Others <input type="text"/>
Address	Simplified Measures Account - Document Type code <input type="text"/>		
Line 1*	<input type="text"/>		
Line 2	<input type="text"/>		
Line 3	<input type="text"/>		
City/Town/Village*	<input type="text"/>	District*	<input type="text"/>
Pin/Post Code*	<input type="text"/>	State/U.T.Code*	<input type="text"/>
		ISO 3166 Country Code*	<input type="text"/>

☐ **4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS***

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

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

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

(Applicable if section 3 is ticked)

☐ Same as Current / Permanent / Overseas Address ☐ Same as Correspondence / Local Address

Line 1*	<input type="text"/>		
Line 2	<input type="text"/>		
Line 3	<input type="text"/>		
District*	<input type="text"/>	City / Town / Village*	<input type="text"/>
	Zip/Post Code*	<input type="text"/>	ISO 3166 Country Code*
	<input type="text"/>	<input type="text"/>	<input type="text"/>

☐ **5. CONTACT DETAILS** (All communications will be sent on provided Mobile no / Email-ID)

Tel. Office	<input type="text"/>	Tel. Residence	<input type="text"/>
Mobile	<input type="text"/>	Fax	<input type="text"/>
Email ID	<input type="text"/>		

☐ **5.1 SPECIFIC DECLARATION REGARDING EMAIL ID & MOBILE NUMBER**

I hereby declare that above mentioned Email ID belongs to :

<input type="checkbox"/> Myself	<input type="checkbox"/> Spouse	<input type="checkbox"/> Father	<input type="checkbox"/> Mother	<input type="checkbox"/> Son	<input type="checkbox"/> Daughter	(Please mention the Name & PAN No. of the close family member)
Name	<input type="text"/>	PAN No.	<input type="text"/>			

I hereby declare that above mentioned Mobile number belongs to:

<input type="checkbox"/> Myself	<input type="checkbox"/> Spouse	<input type="checkbox"/> Father	<input type="checkbox"/> Mother	<input type="checkbox"/> Son	<input type="checkbox"/> Daughter	(Please mention the Name & PAN No. of the close family member)
Name	<input type="text"/>	PAN No.	<input type="text"/>			

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill "Annexure B1")

☐ 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***

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

☐ **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 : D D M M Y Y Y Y

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

D D M M Y Y Y Y

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Name

CANARA BANK/CBSL/PKGB/KGB

DP Code

Employee Signature

Institution Stamp

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.	Account to be operated through Demat Debit Pledge Instruction (DDPI)								<input type="checkbox"/> Yes <input type="checkbox"/> No																			
4.	I wish to receive DIS booklet at the time of account opening								<input type="checkbox"/> Yes <input type="checkbox"/> No																			
5.	SMS Alert facility (Mandatory if you are giving PoA / DDPI.) 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																					
6.	Mode of receiving Statement of Account (Tick any one)		<input type="checkbox"/> Physical Form		<input type="checkbox"/> Electronic Form																							
	<small>[Read Note 3 and ensure that email ID is provided in KYC Application Form]</small>																											
7.	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								<input type="checkbox"/> Yes <input type="checkbox"/> No																			
	PAN							Relationship of guardian with minor																				
H)	Standing instruction indicator for auto pledge confirmation								<input type="checkbox"/> Yes <input type="checkbox"/> No																			
I)	Operating Instruction <input type="checkbox"/> Jointly <input type="checkbox"/> Anyone of the holders or survivor(s)																											
<p>Notes :</p> <ol style="list-style-type: none"> All communication shall be sent at the address of the Sole/First holder only. For all transactions at joint demat account level, the mode of operation shall be Jointly, except for the below mentioned transactions <ol style="list-style-type: none"> Transfer of securities including Inter-Depository Transfer Pledge/Hypothecation/margin pledge/margin re-pledge (Creation, Closure and Invocation and confirmation thereof, as applicable). Freeze/ unfreeze account and/ or the ISIN and / or specific number of securities. With regard to all transactions undertaken in the demat account mentioned in point no. 2, signature of one of the demat account holders as per the mandate of operation given by the joint account holders shall discharge the Participant in full vis-a-vis all demat account holders. Each demat account holder in the demat account is jointly and severally liable towards the Participant for all the commitments entered into by himself/ herself or by any other Client account holder or authorised representative (within the limits of the power). 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. For receiving Statement of Account in electronic form : <ol style="list-style-type: none"> 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. Strike off whichever is not applicable. <p style="text-align: center;">Declaration</p> <p>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.</p> <table border="1" style="width: 100%; margin-top: 10px;"> <tr> <td style="width: 33%; text-align: center;"> <div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">X3</div> <div style="text-align: center; margin-top: 5px;">Signature of Sole/1st Holder in Demat Account</div> </td> <td style="width: 33%; text-align: center;"> <div style="text-align: center; margin-top: 5px;">Signature of 2nd Holder in Demat Account</div> </td> <td style="width: 33%; text-align: center;"> <div style="text-align: center; margin-top: 5px;">Signature of 3rd Holder in Demat Account</div> </td> </tr> </table>											<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">X3</div> <div style="text-align: center; margin-top: 5px;">Signature of Sole/1st Holder in Demat Account</div>	<div style="text-align: center; margin-top: 5px;">Signature of 2nd Holder in Demat Account</div>	<div style="text-align: center; margin-top: 5px;">Signature of 3rd Holder in Demat Account</div>															
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<p>FOR OFFICE USE ONLY:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="3" style="text-align: center;">RISK CATEGORIZATION</td> <td colspan="2" style="text-align: center;">PAN VERIFIED WITH IT DATA BASE</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td style="text-align: center;">LOW <input type="checkbox"/></td> <td style="text-align: center;">MEDIUM <input type="checkbox"/></td> <td style="text-align: center;">HIGH <input type="checkbox"/></td> <td colspan="2" style="text-align: center;">VERIFIED: SEBI PROHIBITED LIST/CRIMINAL BACKGROUND</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td colspan="3"></td> <td colspan="2" style="text-align: center;">VERIFIED: UN SECURITY COUNCIL LIST</td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> </table>											RISK CATEGORIZATION			PAN VERIFIED WITH IT DATA BASE		<input type="checkbox"/>	LOW <input type="checkbox"/>	MEDIUM <input type="checkbox"/>	HIGH <input type="checkbox"/>	VERIFIED: SEBI PROHIBITED LIST/CRIMINAL BACKGROUND		<input type="checkbox"/>				VERIFIED: UN SECURITY COUNCIL LIST		<input type="checkbox"/>
RISK CATEGORIZATION			PAN VERIFIED WITH IT DATA BASE		<input type="checkbox"/>																							
LOW <input type="checkbox"/>	MEDIUM <input type="checkbox"/>	HIGH <input type="checkbox"/>	VERIFIED: SEBI PROHIBITED LIST/CRIMINAL BACKGROUND		<input type="checkbox"/>																							
			VERIFIED: UN SECURITY COUNCIL LIST		<input type="checkbox"/>																							

FORM FOR NOMINATION/CANCELLATION OF NOMINATION

FORM 10

To be filled in by individual applying singly or jointly

Date										DP ID	I	N	3	0	1	3	5	6	Client ID										
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]										Trading ID																			

☐ I/We wish to cancel the nomination made by me/us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me / us in the said account shall vest in me/us. [Strike off the nomination details below].

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me / us in the said beneficiary owner account in the event of my / our death.

Nomination can be made upto three nominees in the account	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
---	------------------------	------------------------	------------------------

Mandatory Details


1.	Name of the nominee(s) (Mr./Ms.)				
2.	Share of each Nominee	Equally (If not equally, please specify percentage)	%	%	%
			Any odd lot after division shall be transferred to the first nominee mentioned in the form		
3.	Relationship with the Applicant (if any)				
4.	Date of Birth (in case of Minor)				
5.	Name of Guardian (Mr./Ms.) (in case of Minor)				

Non-mandatory Details

6.	Address of Nominee(s)/ Guardian in case of Minor			
	PIN Code			
7.	Mobile/Telephone No. of nominee(s) / Guardian in case of Minor			
8.	Email ID of nominee(s) / Guardian in case of Minor			
9.	Nominee / Guardian (in case of Minor) Identification details (Please tick any one of following and provide details of same) <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Aadhaar <input type="checkbox"/> Proof of Identify <input type="checkbox"/> Demat Account ID			

Name(s) of holder(s)		Signature(s) of Holder
Sole/1st Holder (Mr./Ms.)		<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center;">x4</div> Signature of Sole/1st Holder in Demat Account
2nd Holder (Mr./Ms.)		Signature of 2nd Holder in Demat Account
3rd Holder (Mr./Ms.)		Signature of 3rd Holder in Demat Account

Signature of Witness for Nomination

Name of the Witness	Address	 Signature of Witness
		Date

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

Note:

This nomination shall supersede any prior nomination made by the account holder(s), if any.

Declaration Form for opting out of nomination

Date

--

UCC/DP ID	I	N	3	0	1	3	5	6
Client ID(only for Demat account)								
Sole/First Holder Name								
Second Holder Name								
Third Holder Name								
<p>I/We hereby confirm that /We do not wish to appoint any nominee(s) in my /our trading/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents /information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.</p>								
Name and Signature of Holder(s)*								
<p>1. _____ 2. _____ 3. _____</p>								

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

- 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.
- 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.
- 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.
- 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.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- 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.
- 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)
- 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.
- 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.
- 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.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- 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	M	F	O		
Type of address given at KYC KRA	Residential					Residential or Business					Business																				
Place of Birth																															
Country of Birth																															
Nationality																															
Gross Annual Income Details in INR	Below 1 Lakh					5-10 Lacs					25 Lacs - 1 Crore					Net Worth in INR. In Lakhs															
	1-5 Lacs					10-25- Lacs					> 1 Crore					₹															
																Net Worth as on															
																									(Date should not be older than one year)						
Occupation Details	Business					Professional					Public Sector					Housewife					Retired					Others [Please Specify]					
	Private Sector					Government Service					Agriculture					Student					Forex Dealer										
Politically Exposed Person [PEP]	YES					Related to PEP					Not Applicable																				
Are you a tax resident of any country other than india ?																														Yes	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 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.															Signature <div style="border: 1px solid black; padding: 5px; text-align: center;"> (X5) Signature of Sole/1st Holder in demat Account </div> <div style="margin-top: 10px;"> Date DDMMYYYY </div> <div style="margin-top: 10px;"> Place </div>																
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

<input type="checkbox"/>	1. Name of the Applicant	
<input type="checkbox"/>	2. Father's/Spouse Name	
<input type="checkbox"/>	3a. Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	3b. Marital status <input type="checkbox"/> Single <input type="checkbox"/> Married
<input type="checkbox"/>	3c. Date of Birth	<input type="text"/> DD / <input type="text"/> MM / <input type="text"/> YYYY
<input type="checkbox"/>	4a. Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify)	
<input type="checkbox"/>	4b. Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National	
<input type="checkbox"/>	5a. PAN	
<input type="checkbox"/>	5b. Unique Identification Number (UID) / Aadhaar, if any:	
<input type="checkbox"/>	6. Specify Proof of Identity submitted <input type="checkbox"/> PAN card <input type="checkbox"/> Other (Please specify)	

PHOTOGRAPH

Please affix
your recent passport
size photograph and
sign across it

X6

B ADDRESS DETAILS

<input type="checkbox"/>	1. Address for Correspondence	
<input type="checkbox"/>	2. Specify the Proof of Address submitted for Correspondence Address:	
<input type="checkbox"/>	3. Contact Details	
<input type="checkbox"/>	4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)	
<input type="checkbox"/>	5. Specify the Proof of Address submitted for Permanent Address:	

C OTHER DETAILS

<input type="checkbox"/>	1. Gross Annual Income Details (Please Specify) Income range per annum: <input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> More than ₹ 25 Lacs
<input type="checkbox"/>	OR
<input type="checkbox"/>	Net-worth (Net worth should not be older than 1 year) Amount ₹ as on (date) DD / MM / YYYY
<input type="checkbox"/>	2. Occupation (Please tick ✓ any one and give brief details):
<input type="checkbox"/>	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired
<input type="checkbox"/>	<input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify)
<input type="checkbox"/>	3. Please tick, if applicable: <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
<input type="checkbox"/>	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 DD / MM / YYYY

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: DD / MM / YYYY

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

TRADING ACCOUNT RELATED DETAILS**MANDATORY****For Individuals & Non-Individuals****A. BANK ACCOUNT(S) DETAILS**

Bank Name	<input type="checkbox"/> CANARA BANK																									
Branch Address																										
Bank Account No.																Account Type:SB/CA/PIS in case of NRIs										
MICR Number																IFSC Code										

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	CANARA BANK SECURITIES LTD.										DP ID.	IN301356			
Depository Name	NSDL					BO ID.									
Beneficiary Name															

C. TRADING PREFERENCES

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

Exchanges	NSE, BSE		
All Segments	Cash / Mutual Fund	F & O	Currency
(X8)	(X9)	(X10)	(X11)
Signature of Sole/1st Holder in demat Account	Signature of Sole/1st Holder in demat Account	Signature of Sole/1st Holder in demat Account	Signature of Sole/1st Holder in demat Account
If you do not wish to trade in any of segments / Mutual Fund. Please mention here:			

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

Annexure - 1 : Risk disclosures

<ul style="list-style-type: none"> • 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses. • On an average, loss makers registered net trading loss close to 50,000. • Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs. • Those making net trading profits, incurred between 15% to 50% of such profits as transaction cost.

Source : 1. SEBI study dated January 25, 2023 on "Analysis of Profit and Loss of Individual Traders dealing in equity Futures and Options (F&O) Segment" wherein Aggregate Level findings are based on annual Profit/Loss incurred by individual traders in equity F & O during FY 2021-22.

D. PAST ACTIONS

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

E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details:
Sub-broker's Name:_____ SEBI Registration number : _____
Registered office address : _____
Ph:_____ Fax: _____ Website: _____
- whether dealing with any other stock broker/sub-broker (in case dealing with multiple stock brokers/sub-brokers, provide details of all)
Name of stock broker: _____
Name of sub broker, if any: _____
Client Code:_____ Exchange: _____
Details of disputes/dues pending from/to such stock broker/sub-broker: _____

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: _____

Status of the Introducer: Sub-broker/Remistier/Authorised Person/Existing Client/Staff

please specify: Staff No. _____ Branch Name : _____

Branch DP Code : _____ RO Name : _____ CO Name : _____

Introducer OLT No. / Saving Account No. _____

Signature of the Introducer: _____

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/being 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.
4. I/we hereby declare and confirm that the signature on the account opening form and KYC documents are my own signature and the same differs with the pre-printed signature on the PAN/identity document as my signature has changed over years.

Declaration for Name Mismatch

This is to bring to your notice that my name is spelt differently in my Identity proof, Address proof and Bank proof. Please find below the names as spelt in respective proofs:

Name as per Income Tax (PAN)	
Name as per KYC Document	
Name as per Bank Proof	

☐ I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information. I agree to indemnify and keep you indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and/or incurred by you for any act done or omitted to be done on the above declaration.

Place _____

Date _____

x12

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 - 01.06.2024
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. 50 <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)	Rs. 50 or 0.10% of the transfer value (whichever is higher)** For the same day pay - in, Rs. 100 or 200% of regular transaction charges (whichever is higher)** For Online Trading customers of Canara Bank Securities Ltd., Rs. 30/- or 0.025% (whichever is higher)** **Includes NSDL charges of ₹ 4 per debit instruction.
5	DIS Re - Issuance	Rs. 50/- per DIS Booklet + Courier charges of Rs. 50
6	Pledge Related	Creation/Closure/Confirmation - 0.04% of the Transaction value with a minimum of Rs. 50.00 or Rs.10.00 per ISIN, whichever is higher + NSDL Charges at actuals Invocation: Rs. 50.00 per transaction (If pledge is marked in favour of Canara Bank concessional charge @50% will be levied)
7	Failed instruction & Other charges	Rs. 100 for every failed transaction. Additional statement Rs. 50 per page. Cheque bouncing / ECS return charges 'for want of funds' Rs. 500

*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.750
- ii) Maintaining only Demat account and linked to S.B A/c. maintained with Banks other than above - Rs. 1000.
- iii) 50% discount to Canara Bank Staff for having Demat account linked to SB account with staff product code.

Note :

1. The above mentioned charges are exclusive of applicable statutory levies/taxes including Goods & Service Tax (GST)
2. The Charges for BSDA will be levied as per Regulatory guidelines. If the value of holding is up to Rs.4,00,000 there will be "NIL" AMC and where value of holding is between Rs.400,001 to Rs.10,00,000 AMC will be up to Rs.100 per annum. The Value of Shares and charges is calculated as per NSDL formula and rates.
3. Any service that is not indicated above will be charged separately as per the rates applicable from time to time.
4. Interest @ 24% p.a. for delayed payment of bills.
5. The depository services are liable to discontinuation if CBSL is unable to recover charges from the customer for any reason.
6. DP bills will be run at monthly intervals as per the discretion of the company. 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.

<div style="border: 1px solid black; border-radius: 50%; width: 30px; height: 30px; display: flex; align-items: center; justify-content: center; margin: 0 auto;">x13</div>		
Signature of Sole/1st Holder in Demat Account	Signature of 2nd Holder in Demat Account	Signature of 3rd Holder in Demat Account

TARIFF SHEET FOR ONLINE TRADING ACCOUNT

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

Client to choose one from three options given below:

<div>Option 1</div> <div><input type="checkbox"/></div>	NORMAL BROKERAGE OPTION (NBO)				
	Transaction Type				Rate
	Non Delivery (Cash / Future)				0.05%
	Delivery				0.35%
	Future carry forward positions				0.10%
<div>Option 2</div> <div><input type="checkbox"/></div>	UPFRONT BROKERAGE OPTION (UBO) - Choice of 4 schemes				
		Standard	Silver	Gold	Platinum
	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%
<div>Option 3</div> <div><input type="checkbox"/></div>	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...../- to be paid at the time of opening the account. (DDPI 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 bothsides 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.

(x14)

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:

- 1) Trading at a price which is less than the Face value of the share, 2) Small Market Capitalization, 3) Poor / Unsound fundamentals, 4) 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 don'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 payout 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 to 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 affect 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 prospects.

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.

K. PROPRIETARY TRADING

The Stock Broker hereby informs and declares to the Client that, in addition to the Client level trading, the Stock Broker, undertakes Proprietary Trading.

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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 the 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 'Dia'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 anyone 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. 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. 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/offers at its sole discretion.
- #### 5. Brokerage and Taxes:
- 5.1. CBSL shall be entitled to a brokerage of up to 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.

- 7.1.1. 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 payout date specified by the Exchange/Clearing Corporation/clearing house.
- 7.1.2. 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. 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 part 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:
- CBSL shall have the right to refuse to accept any buy or sell transaction or order from the CLIENT without providing any reasons there of provided that CBSL shall immediately inform the CLIENT of any such decision.
 - 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.
 - 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.
 - 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.
 - 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.
 - 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. 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 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.
- 12.5. 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.
- 12.6. 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.
- 12.7. 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.
- 12.8. 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.
- 12.9. 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.

VOLUNTARY FREEZING OF THE ONLINE TRADING ACCOUNT POLICY

1. Introduction

This policy outlines the procedures for voluntary freezing of trading accounts for clients of Canara Bank Securities Ltd (CBSL) in accordance with SEBI & Exchange Circulars.

2. Purpose

This policy aims to guide CBSL clients on the process, modes, timelines and other details for facilitating the voluntary freezing of their trading accounts upon noticing any suspicious activity.

3. Scope and Applicability

This policy is applicable to all CBSL clients who wish to voluntarily freeze their online trading accounts.

4. Review

This policy is part of CBSL's Risk Management Policy and shall be reviewed periodically by the Board of Directors or earlier if necessary to ensure compliance with regulatory changes.

5. Procedure to Freeze Online Trading Account

Via Email:

- CBSL clients can submit an email request from their respective registered email id with Subject: VOLUNTARY FREEZING OF THE ONLINE TRADING ACCOUNT NO 0101XXXXX.
- Email should be sent on cbslmo@canmoney.in
- An acknowledgement mail in form of reply will be sent to the CBSL's client who has requested the freezing of the online trading account
- The account will be frozen/deactivated on temporary basis.

Via Calling a Support Line:

- Call CBSL at the number 022 43603843/44 (between 8:30am - 5:30pm excluding Saturday & Sundays and public holidays).
- The customer support executive will verify the client's identity and may request additional information.
- Once verified, the executive will freeze the account.

6. Procedure to Unfreeze Online Trading Account

- Clients can call the dedicated support line at 022 43603843/44 and follow our executives instructions. After necessary due diligence, the account will be unfrozen within approximately 60 minutes subject to necessary validations.
- After the account has been unfrozen, the client can resume trading.
- Clients will be allowed to trade through both online and offline modes, i.e. call to trade or through online terminal.

7. Important Points to Note:

- It is advised that the client closes all the open positions before giving the request for freezing the account.
- Client's account will be blocked, within 30 minutes of receiving the freeze request.
- Confirmation of the freeze of the account will be sent via email, including process to unfreeze the account.
- All pending orders, whether placed online or offline by the client, will be cancelled and trading access will be blocked.
- Upon freezing, the client will be logged out of the app.
- New SIPs will not be executed while the account is frozen.
- Fund addition will not be allowed.
- It is recommended to change the T-PIN immediately after freezing the account. This can be done by calling our customer care desk on 022 43603800 and email on customercare@canmoney.in
- Clients with open positions can call to trade on 022 43603871/72/73/74/75 to close them.
- To unfreeze the account, clients can call at 022 43603843/44.
- In case client MTM is 80% or above, all the open positions will be auto squared off as per risk management policy of CBSL.
- In case of margin shortage, client position will be auto squared off to the extent of margin shortage.
- Any open position under Intraday product will be auto squared off by the system as per the Intraday product policy.

8. Clarifications :

It is clarified that -

- a. Freezing/blocking is only for the online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of Canara Bank Securities Ltd. Clients will be liable to adhere to the existing risk policy already in place.
- b. The request for freezing/ blocking does not constitute request for marking client Unique Client Code (UCC) as inactive in the Exchange records.
- c. Client will not be able to access the account in frozen state.
- d. Freeze Request once submitted cannot be cancelled. Although the client can call us at 022 43603843/44 and place a request for unfreeze.

9. Circular references:

- SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024
- NSE/INSP/61529 dated April 08, 2024
- BSE notice 20240408-12 dated 08 Apr 2024

x16

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:

1. 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.
2. I / We understand that, I / we have the option to receive the contract notes, bills, margin calls, and 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.
3. 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, and Client margin information, Statement of Accounts, Ledger and Security Balance Confirmation to me / us.
4. 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).
5. 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.

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,

(x17)

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.]

Annexure A
Most Important Terms and Conditions (MITC)
(For non-custodial settled trading accounts)

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

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Signature of Sole/1st Holder in Demat Account

DEBIT AUTHORISATION

Client Name:

To,

Address:

.....(Banker name)

.....

.....

.....

.....

Reference: Saving/Current A/c

Dear Sir/Madam,

Subject: Debit Authorisation

I/We have entered into an understanding with M/s. Canara Bank Securities Ltd (CBSL) to open a Beneficial owner's account / Trading account for availing Depository, Trading facilities and other services offered by CBSL.

And for the purpose of availing seamless Depository and Trading facility from CBSL, I/We hereby authorize CBSL to operate my/our Bank Account, through THE BANK, by way of putting a hold, marking of lien, blocking of funds and debiting my/our Bank Account towards the below mentioned charges / heads or as will be intimated to me / us by CBSL from time to time and payable by me/us:

Head	Frequency
Account opening charges	Once
Annual Maintenance Charges	As Applicable
DP Charges (as per tariff sheet)	Quarterly
Other Products / Services	As Applicable
Delay Payment Charges	As Applicable
Trading loss / Mark to market loss / Margin Obligation(s)	As Applicable
Settlement / Delivery Obligation	As Applicable
Any other outstanding Charges	As Applicable
Subscription/Investment amount in Public Offerings & Third Party Financial Products	As Applicable
Charges payable to Stock Broker/DP by virtue of subscribing to their services	As Applicable

I/We, the undersigned, hereby authorize THE BANK to honour the instructions given by CBSL to hold / mark a lien / transfer all or any funds from my/our above mentioned account to CBSL as may be requested for by CBSL for the above mentioned charges/dues/subscription/investment amount. I/We confirm that any such requests and/or instructions given by CBSL shall be completely binding on me/us.

I/We undertake that I/we shall maintain sufficient balance at all times to enable THE BANK to recover / debit the aforesaid mentioned charges/due/subscription/investment amount from the Account as per instructions from CBSL and I/we shall not act in any manner to impair the rights of CBSL to recover the same.

I/We hereby confirm and ratify the instructions issued by CBSL on behalf of me/us to the Bank and undertake that BANK/CBSL shall not be held liable for any loss that may result from failure / inability of electronic connectivity or otherwise. And I/we hereby agree to ratify all the acts, and things done by the BANK/CBSL through any of its officers/employees pursuant to the powers herein above contained, which shall be binding on me/us.

I/We understand that this Debit Authorization shall remain effective unless intimation of revocation is given to the Bank and CBSL in writing.

X19

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

*If Bank account is in joint name, all joint holders has to sign

Demat Debit and Pledge Instruction(Only for clients having account with **Canara Bank Securities Ltd**)

TO ALL TO WHOM THESE PRESENTS THAT I /WE Mr./Mrs./M/s. with beneficiary Owner's Client id, an individual/Firm/corporate having his/her/ its residence / registered office at (hereinafter referred to as '**the client**') wish to avail/ have availed the Broking / E broking / Demat facilities and other services offered (hereinafter referred to as 'services') by Canara Bank Securities Ltd. A company incorporated under the Companies Act, 1956 and having its registered office at 7th Floor, Maker Chambers III, Nariman Point, Mumbai - 400021 and Central DP Office at No. 51, 1St floor, Stock Exchange Towers, 1st Cross, J C Road, Bangalore - 560027.

WHEREAS CBSL is registered as a Trading Member / Stock Broker of the National Stock Exchange of India Ltd (NSE) and Bombay Stock Exchange Ltd (BSE) and with the Securities Exchange Board of India (SEBI).

WHEREAS, the Bank and Demat account details of CBSL are as mentioned in ANNEXURE – I

Sl.No.	Purpose	Signature of Sole/1 st Holder in Demat Account	Signature of 2 nd Holder in Demat Account	Signature of 3 rd Holder in Demat Account
1.	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.	(x20)		
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	(x21)		
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms.	(x22)		
4.	Tendering shares in open offers through Stock Exchange platforms.	(x23)		

* the same may be signed physically against each purpose of DDPI. The same may also be eSigned. In case of eSign, client shall be given an option for choosing the specific purpose(s) of DDPI.

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

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**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 / Aadhaar		
Utility bill which is not more than 2 months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).		
Property or Municipal tax receipt.		
Pension of family payment orders (PPOs) issued to retired employees of Government Departments or Public Sector Undertakings, if they contain the address.		
Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies and leave and license agreements with such employers allotting official accommodation.		
(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 22116082, Email : dpaop@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)