



# TRADING AND DEMAT REGISTRATION KIT (For Individuals)

**INDIABULLS VENTURES LIMITED**

Version: 12.0  
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# INDIABULLS VENTURES LIMITED

Corporate Identity Number (CIN): L74999DL1995PLC069631

**Name of the Stock Broker/Trading Member/Clearing Member/Depository Participant:**

Indiabulls Ventures Limited

**Registered Office Address:**

M-62 & 63, First Floor, Connaught Place, New Delhi – 110001. Phone: 011-30252900; Fax: 01130252901

Website: www.indiabulls.com Email: helpdesk@indiabulls.com

**Correspondence Office Address:**

Indiabulls House, 448-451, Udyog Vihar, Phase V, Gurgaon – 122016, Haryana. Phone: 022-61446300 Fax: 0124-6681111

**Trading Compliance Officer Details:**

Name: Mr. Rajkumar Gupta; Phone: 0124-4935060; Email: complianceofficer@indiabulls.com

**DP Compliance Officer Details:**

Name: Mr. Akshay Kumar Tiwary 0124-4935041; Email: complianceofficer\_dp@indiabulls.com

**CEO Details: Name:**

Mr. Divyesh Shah; Phone: 0124 6682556; Email: ceo.securities@indiabulls.com

**SEBI Registration Details**

SEBI Registration Number	INZ000007534
NSE Membership Number	08756 (Capital Market, Future & Option, Currency Derivative Segment)
BSE Membership Number	907 (Capital Market, Future & Option Segment)

**Depository Participant (DP) Details**

SEBI Registration Number	IN-DP-CDSL-204-2003
NSDL DP ID	IN302236
CDSL DP ID	12029900

For any grievance/dispute, please contact Indiabulls Ventures Limited at the above mentioned correspondence address or email at grievances\_ibsl@indiabulls.com. In case not satisfied with the response; please contact the concerned exchange(s)/Depository(ies) at the below mentioned details–

Exchange/ Depository Name	Email ID	Phone No.
NSE	ignse@nse.co.in	022 26598190
BSE	is@bseindia.com	022 22728097
NSDL	relations@nsdl.co.in	022-24994200
CDSL	complaints@cdslindia.com	022-22723333

=====TEAR HERE=====

## INDIABULLS VENTURES LIMITED

### ACKNOWLEDGMENT

Received the application from M/s \_\_\_\_\_ for opening of a Trading and/or Demat account. Please quote the Trading and DP ID & Client ID allotted to you in all your future correspondence.

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

Participant Stamp & Signature

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## INSTRUCTIONS/CHECKLIST/GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

### A. IMPORTANT POINTS:

1. Fields marked with '\*' are mandatory fields
2. Tick '✓' wherever applicable
3. A. Self-Certification of documents is mandatory. Self-attested copy of PAN card is mandatory for all clients  
B. 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
4. Please fill the form in English and in BLOCK Letters. If any proof of identity or address is in a foreign language, then translation into English is required
5. Please fill all dates in DD-MM-YYYY format.
6. A. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.  
B. The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.  
C. Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.).
7. Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory
8. If correspondence & permanent address are different, then proofs for both have to be submitted
9. Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
10. KYC number of applicant is mandatory for updation of KYC details.
11. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIO Card/OCI Card and overseas address proof is mandatory.
12. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
13. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
14. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
15. 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. (1) Proof of Identity (POI): - List of documents admissible as Proof of Identity:

1. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks/NREGA Job Card

### B. (2) Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

1. If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
2. Mention identification / reference number if Others (any document notified by the central government)' is ticked.

- C. (1) Proof of Address (POA) : List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.**
1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy/ Unique Identification Number (UID) (Aadhaar)/NREGA Job Card.
  2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
  3. Bank Account Statement/Passbook — Not more than 3 months old.
    - a) Bank statement (original/photocopy) with bank logo (Statement End date must not be more than three months old) must be accompanied with a cheque copy (if given as address proof).
    - b) Bank statement (original/photocopy) without bank logo (Statement End date must not be more than three months old), must be duly attested in original by the bank official, along with name, designation, signature and bank stamp. Same needs to be accompanied with an original cancelled cheque (if given as an address proof)
  4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
  5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
  6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
  7. For FII/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/ or apostilled or consularised) that gives the registered address should be taken.
  8. The proof of address in the name of the spouse may be accepted.
- C (2) Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section**
- a. PoA to be submitted only if the submitted PoA does not have an address or address as per PoA is invalid or not in force.
  - b. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- C (3) Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section**
- a. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted
- C (4) Clarification / Guidelines on filling 'Contact details' section**
- a. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
  - b. Do not add '0' in the beginning of Mobile number
- D. Exemptions/clarifications to PAN (\*Sufficient documentary evidence in support of such claims to be collected)**
1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
  2. Investors residing in the state of Sikkim.
  3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
  4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
  5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents:**

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

**F. INSTRUCTIONS/ CHECK LIST**

1. Additional documents in case of trading in derivatives segments - illustrative list:  
Copy of ITR; Copy of Annual Accounts; In case of salary income - Salary Slip; Copy of Form 16; Net worth certificate; Copy of demat account holding statement; Bank account statement for last 6 months; Any other relevant documents substantiating ownership of assets; Self-declaration with relevant supporting documents  
\* In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.
2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/ and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
  - a) Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b) In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.

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

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

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988					
State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two - digit Country Code							
Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ

Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao   Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		



### FATCA & CRS Terms and 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 certification 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 be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.

Should there be any change in information provided by you, please ensure you advise us promptly i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied and previously requested information.

Please note that you may receive more than one request for information if you have multiple relationships with Indiabulls Ventures Limited or its group entities. Therefore it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### FATCA & CRS Instructions

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or Green card holder, please include United States in the foreign country information field along with your US Tax Identification Number.

^It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA & CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	1. Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes; 2. Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND 3. Any one of the following documents: Certified Copy of "Certificate of Loss of Nationality <u>or</u> Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; <u>or</u> Reason the customer did not obtain U.S. citizenship at birth
Residence/ mailing address in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)
	<b><i>If no Indian telephone number is provided</i></b> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)
Telephone number in a country other than India	<b><i>If Indian telephone number is provided along with a foreign country telephone number</i></b> 1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; <b>OR</b> 2. Documentary evidence (refer list below)
Telephone number in a country other than India	1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; <b>and</b> 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issued by an authorized government body\*
2. Valid identification issued by an authorized government body\* (e.g. Passport, National Identity card, etc.)

\* **Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.**

### INDIABULLS VENTURES LIMITED

Corporate Identity Number (CIN): L74999DL1995PLC069631

**Registered Office Address:** M-62 & 63, First Floor, Connaught Place, New Delhi – 110001.  
 Phone: 011-30252900; Fax: 011 30252901 **Correspondence Office Address:** Indiabulls House,  
 448-451, Udyog Vihar, Phase V, Gurgaon – 122016, Haryana. Website: www.indiabulls.com  
 Email: helpdesk@indiabulls.com Phone: 022-61446300 Fax: 0124 6681111

Please affix your recent passport size photograph and sign across it

*Please fill the form preferably in 'BLACK' Ink and in 'BLOCK LETTERS' only*

#### PART- (A) IDENTITY DETAILS

	Prefix	First Name	Middle Name	Last Name												
Name of the Applicant (as per PAN Website)																
Name of the applicant (same as ID Proof)																
Maiden Name * (if any)																
Father's/Spouse Name * (if any)																
Mother's Name *																
Date of Birth * (DD/MM/YYYY)	D	D	M	M	Y	Y	Y	Y	Gender: <input type="checkbox"/> M - Male <input type="checkbox"/> F – Female <input type="checkbox"/> T - Transgender							
<b>Marital Status:</b> <input type="checkbox"/> Unmarried <input type="checkbox"/> Married <input type="checkbox"/> Others	<b>Citizenship*</b> <input type="checkbox"/> IN-Indian <input type="checkbox"/> Others (please specify) _____	<b>Residential Status*:</b> <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Indian <input type="checkbox"/> Foreign National (Passport copy mandatory for NRIs and Foreign Nationals) <input type="checkbox"/> Person of Indian Origin														
PAN									Please enclose a duly attested copy of your PAN card							
<b>Proof of Identity submitted for PAN exempted cases. Please tick (✓) – Please refer instruction B. (Certified copy of any one of the following Proof of Identity (PoI) needs to be submitted).</b>																
Passport Number									Passport Expiry Date							
Voter ID Card									D	D	M	M	Y	Y	Y	Y
PAN Card																
Driving Licence									Driving Licence Expiry Date							
UID (Aadhaar)									D	D	M	M	Y	Y	Y	Y
NREGA Job Card																
<b>Others (Any document notified by Central Government)</b>								<b>Identification number:</b>								
Unique Identification Number, if any																

**PART (B). ADDRESS DETAILS**

Address Type*		<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified					
Address for Correspondence							
City/Town/Village		State					
Country		PIN/Post Code					
State / U.T. Code*		ISO 3166 Country Code*					
Proof of Address to be provided by the Applicant. Please submit <b>ANY ONE</b> of the following documents. <b>Please tick (√)</b> against the document attached.							
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Driving License <input type="checkbox"/> Latest Electricity Bill # <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Gas Bill # <input type="checkbox"/> Latest Bank a/c statement/passbook # <input type="checkbox"/> Latest Telephone Bill (only landline) # <input type="checkbox"/> Registered Lease / Sale Agreement of Residence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____ # not more than 3 months old						Validity/Expiry date of proof of address submitted D   D   M   M   Y   Y   Y   Y	
<input type="checkbox"/> Please tick (√) permanent address is the same as above address.							
Address Type*		<input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified					
Permanent Address							
City/Town/Village		State					
Country		PIN/Post Code					
State / U.T. Code*		ISO 3166 Country Code*					
Proof of Address to be provided by the Applicant. Please submit <b>ANY ONE</b> of the following documents. Please tick (√) against the document attached.							
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Driving License <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Latest Electricity Bill # <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Gas Bill # <input type="checkbox"/> Latest Bank a/c statement/passbook # <input type="checkbox"/> Latest Telephone Bill (only landline) # <input type="checkbox"/> Registered Lease / Sale Agreement of Residence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Others _____ # not more than 3 months old						Validity/Expiry date of proof of address submitted D   D   M   M   Y   Y   Y   Y	
Contact Details (all communications will be sent on provided Mobile No. / Email-ID)							
Telephone (Off.)							
Telephone (Res.)							
FAX							
Email ID							
Mobile Number							

Gross Annual Income Details (Income Range per annum)		<input type="checkbox"/> < 1 Lac	<input type="checkbox"/> 1–5 Lac	<input type="checkbox"/> 5–10 Lac	<input type="checkbox"/> 10–25 Lac	<input type="checkbox"/> (>) Above 25 Lac				
or										
Net worth		As on date	D	D	M	M	Y	Y	Y	Y
Net worth should not be older than 1 year										
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 <input type="checkbox"/> Agriculturalist <input type="checkbox"/> Others _____										
Please tick if applicable		<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a Politically Exposed Person (RPEP)						
Any other Information										

**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.


**Signature of the Applicant:**  \_\_\_\_\_ **Date:** \_\_\_\_\_ **Place:** \_\_\_\_\_

**IDENTITY VERIFIED “IN PERSON” - Indiabulls Ventures Limited**

IPV Done on	D	D	M	M	Y	Y	Y	Y	SEAL/STAMP of Indiabulls Ventures Limited
Place									
Employee Name									
Employee Code									
Designation									
Date	D	D	M	M	Y	Y	Y	Y	
Employee Signature 									

**FOR OFFICE USE ONLY**

**Intermediary Name - Indiabulls Ventures Limited**

<input type="checkbox"/> (Originals Verified) True copies of documents received		SEAL/STAMP of Indiabulls Ventures Limited
<input type="checkbox"/> (Self attested) Self certified document copies received		
Application Type: <input type="checkbox"/> New <input type="checkbox"/> Update		
KYC Number (Mandatory for KYC Update Request):		
Account Type: <input type="checkbox"/> Normal		
Employee Name		
Designation		
Date	D D M M Y Y Y Y	
Employee Signature 		

## Details of FATCA-CRS

*Please consult your professional tax professional on your tax residency, if required*


First / Sole Applicant / Guardian													
Name													
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	PAN					Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____					
Father's Name													
Address of tax residence would be taken as available in KRA database. Incase of any change please approach KRA & notify the changes.													
Type of address given at KRA		<input type="checkbox"/> Residential <input type="checkbox"/> Residential or Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office											
Permissible documents		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others											
Nationality				Date of Birth		D	D	M	M	Y	Y	Y	Y
Place of Birth				Country of Birth									
Are you a tax resident of any country other than India?						<input type="checkbox"/> Yes <input type="checkbox"/> No							
If yes, please indicate all countries in which you are a resident for tax purposes and the associated Tax purposes and the associated Tax ID Numbers below													
S. No	Country of Tax Residency#		Tax Identification Number (TIN) / Functional Equivalent^				Identification Type [TIN or other; please specify]						
1.													
2.													
3.													
# to also include USA, where the individual is a Citizen/Green Card Holder of the USA													
^ Incase Tax Identification Number is not available, kindly provide its functional Equivalent													

Second Applicant													
Name													
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	PAN					Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____					
Father's Name													
Address of tax residence would be taken as available in KRA database. Incase of any change please approach KRA & notify the changes.													
Type of address given at KRA		<input type="checkbox"/> Residential <input type="checkbox"/> Residential or Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office											
Permissible documents		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others											
Nationality				Date of Birth		D	D	M	M	Y	Y	Y	Y
Place of Birth				Country of Birth									
Are you a tax resident of any country other than India?						<input type="checkbox"/> Yes <input type="checkbox"/> No							
If yes, please indicate all countries in which you are a resident for tax purposes and the associated Tax purposes and the associated Tax ID Numbers below													
S. No	Country of Tax Residency#		Tax Identification Number (TIN) / Functional Equivalent^				Identification Type [TIN or other; please specify]						
1.													
2.													

3.			
# 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			

Third Applicant													
<b>Name</b>													
<b>Gender</b>	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others		<b>PAN</b>					<b>Occupation Type</b>	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____				
<b>Father's Name</b>													
<b>Address of tax residence would be taken as available in KRA database. In case of any change please approach KRA &amp; notify the changes.</b>													
Type of address given at KRA		<input type="checkbox"/> Residential <input type="checkbox"/> Residential or Business <input type="checkbox"/> Business <input type="checkbox"/> Registered Office											
Permissible documents		<input type="checkbox"/> Passport <input type="checkbox"/> Election ID card <input type="checkbox"/> PAN Card <input type="checkbox"/> Govt. ID Card <input type="checkbox"/> Driving License <input type="checkbox"/> UIDAI Card <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others											
Nationality				Date of Birth		D	D	M	M	Y	Y	Y	Y
Place of Birth				Country of Birth									
Are you a tax resident of any country other than India?							<input type="checkbox"/> Yes <input type="checkbox"/> No						
If yes, please indicate all countries in which you are a resident for tax purposes and the associated Tax purposes and the associated Tax ID Numbers below													
<b>S. No</b>	<b>Country of Tax Residency#</b>			<b>Tax Identification Number (TIN) / Functional Equivalent^</b>				<b>Identification Type [TIN or other; please specify]</b>					
1.													
2.													
3.													
# 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 FATCA & CRS Terms and Conditions below and hereby accept the same.

Signatures	First / Sole Applicant / Guardian								Second Applicant				Third Applicant			
																
<b>Date</b>	D	D	M	M	Y	Y	Y	Y	<b>Place</b>							

**OTHER DETAILS & SUPPLEMENTARY KYC INFORMATION FOR BOTH TRADING AND DEMAT ACCOUNT**

Name of the applicant										
PAN*										

**Overseas Address Details**

<b>Address Type*</b> <input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified										
<b>Overseas Address*</b>										
City/Town/Village				State						
Country				PIN/Post Code						
State / U.T. Code*				ISO 3166 Country Code*						
Proof of Address to be provided by the Applicant. Please submit <b>ANY ONE</b> of the following documents. <b>Please tick (√)</b> against the document attached.										
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Driving License <input type="checkbox"/> Latest Electricity Bill # <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Gas Bill # <input type="checkbox"/> Latest Bank a/c statement/passbook # <input type="checkbox"/> Latest Telephone Bill (only landline) # <input type="checkbox"/> Registered Lease / Sale Agreement of Residence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____ # not more than 3 months old								Validity/Expiry date of proof of address submitted		

**Address in Jurisdiction details where applicant is resident outside India for tax purposes**

<input type="checkbox"/> Same as Current/Permanent/Overseas Address details <input type="checkbox"/> Same as Correspondence /Local Address Details										
<b>Address Type*</b> <input type="checkbox"/> Residential / Business <input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Unspecified										
<b>Overseas Address*</b>										
City/Town/Village				State						
Country				PIN/Post Code						
State / U.T. Code*				ISO 3166 Country Code*						
Proof of Address to be provided by the Applicant. Please submit <b>ANY ONE</b> of the following documents. <b>Please tick (√)</b> against the document attached.										
<input type="checkbox"/> Passport <input type="checkbox"/> Ration Card <input type="checkbox"/> Driving License <input type="checkbox"/> Latest Electricity Bill # <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Latest Gas Bill # <input type="checkbox"/> Latest Bank a/c statement/passbook # <input type="checkbox"/> Latest Telephone Bill (only landline) # <input type="checkbox"/> Registered Lease / Sale Agreement of Residence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> NREGA Job Card <input type="checkbox"/> Others _____ # not more than 3 months old								Validity/Expiry date of proof of address submitted		
<b>Contact Details (all communications will be sent on provided Mobile No. / Email-ID)</b>										
Telephone (Off.)										
Telephone (Res.)										
FAX										

Email ID	
Mobile Number	

<b>Bank Name (1)</b>	
<b>Branch Address</b>	
<b>Bank Account No.</b>	
<b>Account Type</b>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Other (Incase of NRI/NRE/NRO)
<b>MICR Number</b>	
<b>IFSC Code</b>	

<b>Bank Name (2)</b>	
<b>Branch Address</b>	
<b>Bank Account No.</b>	
<b>Account Type</b>	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Other (Incase of NRI/NRE/NRO)
<b>MICR Number</b>	
<b>IFSC Code</b>	

**\*Bank detail provided in Bank Name 1 would be considered for Dividend.**

● **ADDITIONAL DETAILS**

I wish to receive following standard documents in  Physical Form  Electronic Form

- Rights & Obligations of stock broker, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading)
- Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and depositories
- Uniform Risk Disclosure Documents (for all segments/ exchanges)
- Guidance Note detailing Do's and Don'ts for trading on stock exchanges

**Data Protection Declaration**

**I understand that:**

- My personal data will be processed by Indiabulls Ventures Limited (IVL) as per the Privacy Policy available at (<http://www.indiabullsventures.com/privacy-policy/>).
- I may receive communications regarding services/products implied from this form.
- My data may be transferred to countries that are outside EU, specifically India, for processing

I agree to receive alerts, emails and newsletters related to marketing, greetings, promotions, and latest updates.

Yes       No

**Remarks (if any):**

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**Declaration:**

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it. I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number / email address.

**Signature of the Applicant:**  \_\_\_\_\_ **Date:** \_\_\_\_\_ **Place:** \_\_\_\_\_



## TRADING ACCOUNT RELATED DETAILS

### A. DEPOSITORY ACCOUNT (S) DETAILS

<b>Depository Participant Name (1)</b>			
<b>Depository Name (CDSL/NSDL)</b>	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<b>DP ID</b>	
<b>Beneficiary Name</b>			
<b>Beneficiary ID (BO ID)</b>			

<b>Depository Participant Name (2)</b>			
<b>Depository Name (CDSL/NSDL)</b>	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<b>DP ID</b>	
<b>Beneficiary Name</b>			
<b>Beneficiary ID (BO ID)</b>			

### B. TRADING PREFERENCES

Please sign in the relevant boxes in which you wish to trade. The segment not chosen should be struck off by the client.

EXCHANGE	Capital Market	Derivatives	Currency Derivatives
<b>National Stock Exchange (NSE)</b>	5	7	9
<b>BSE Limited (BSE)</b>	6	8	NA

#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.

### C. 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	<input type="checkbox"/> No <input type="checkbox"/> Yes If yes, please specify details.


### D. DEALINGS THROUGH SUB-BROKER & OTHER STOCK BROKERS

Dealings through sub-broker & other stock brokers	<input type="checkbox"/> Yes <input type="checkbox"/> No		
If client is dealing through the sub-broker, provide the following details			
Sub-Broker Name		SEBI Registration No.	
Registered Office Address			
Phone No.		FAX	Website
Whether dealing with any other stock broker / Sub-Broker (if 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			




**E. ADDITIONAL DETAILS**

- I/We wish to receive  Physical Contract Note (or)  Electronic Contract Note (ECN)
- E-mail ID for ECN: \_\_\_\_\_
- I/We wish to avail the facility of Internet Trading /Wireless Trading:  Yes  No
- I/We wish to avail Documents via  Electronic Mode Facility (DEM) (or)  Physical Mode
- Number of years of Investment/Trading Experience:  
 \_\_\_\_\_ No prior experience \_\_\_\_\_ years in Stock \_\_\_\_\_ years in Derivatives  
 \_\_\_\_\_ years in other investment related field
- Any other information: \_\_\_\_\_

**F. INTRODUCER'S DETAILS (optional)**

<b>Name</b>			
<b>Status</b>	<input type="checkbox"/> Sub broker <input type="checkbox"/> Authorised Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Remisier <input type="checkbox"/> Others (please specify) _____		
<b>Address</b>			
	<b>Phone No.</b>		
<b>Introducer's Signature</b> 			

**G. NOMINATION DETAILS (For Individuals Only)**

I/We wish to Nominate <input type="checkbox"/> Yes <input type="checkbox"/> No																		
Name of the Nominee																		
Relationship with the Nominee																		
PAN of Nominee										Date of birth of Nominee	D	D	M	M	Y	Y	Y	Y
Address of Nominee																		
Phone No.																		
If Nominee is a Minor, please provide the below mentioned details of Guardian																		
Name																		
Address																		
Phone No.																		
Guardian's Signature 																		
<b>Witnesses (Only applicable in case the account holder has made nomination)</b>																		
Name:									Name:									
Address:									Address:									
Signature: 									Signature: 									

**H. Option to receive Equity research reports as a value added service**

- I/We hereby agree to subscribe to /opt for the research report(s) provided by Indiabulls Ventures Limited (IVL). I/We have been made aware that the following categories of research reports will be provided:
  - Fundamental Research Report
  - Technical & Derivative Research Report
- I/We further agree that such reports shall be provided to me/us by Indiabulls Ventures Limited on agreeing to the below mentioned terms and conditions.

**Terms & Conditions**

I/We have read and understood the following terms and conditions pertaining to access & usage of Research Reports provided by Indiabulls Ventures Limited (IVL) and agree as under:

- To avail these reports, I/we am/are required to understand and confirm/accept the following:
  - Read and understand the important disclosures and disclaimers forming part of each report.
  - Read the Risk Disclosure document (RDD) provided by Indiabulls Ventures Limited before doing any investment/trades.
- IVL will, at its discretion, provide various reports such as research reports/news, results, and event updates/sector report/monthly commentary/regular compendium, trading call, fundamental, technical and derivatives reports etc. to its customer either in the form of a written market commentary or research report sent via SMS/e-mail.
- The report(s) is/are for my/our general information. It does not constitute a personal recommendation made by IVL nor does it take into account any particular investment objectives, financial situations, or needs of any specific Recipient(s).
- The stated price of any securities mentioned in the reports will be as of the date indicated and is not a representation that any transaction can be effected at this price.
- The Reports are strictly confidential and I/we shall not forward or distribute Reports to any other person and shall not reproduce them in any manner whatsoever. Any forwarding, distribution or reproduction of the Reports in whole or in part is unauthorized and may result in a violation of the applicable laws.


Signature of the Applicant:  \_\_\_\_\_

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

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

**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 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:  \_\_\_\_\_

**SEAL/STAMP of Indiabulls Ventures Limited**

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

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

**We do not deal in Cash  
We accept only Cheque**

## APPLICATION FOR DEMAT ACCOUNT (ADDITIONAL INFORMATION FOR DEMAT ACCOUNT)

Please fill the form preferably in 'BLACK' Ink and in 'BLOCK LETTERS' only

**CDSL DP ID 12029900**      OR       **NSDL DP ID IN302236**

Client ID: \_\_\_\_\_ (To be filled by IVL)

**Depository Service:** I/We wish to open Depository Account with \_\_\_\_\_ (CDSL DP ID 12029900/ NSDL DP ID IN302236) in my/our name as per the following details.

**TYPE OF ACCOUNT (Please tick (√) whichever is applicable)**

STATUS	SUB-STATUS
<input type="checkbox"/> <b>INDIVIDUAL</b>	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Minor <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> <b>NRI</b>	<input type="checkbox"/> NRI Repartiable <input type="checkbox"/> NRI Non-Repartiable <input type="checkbox"/> NRI Repartiable Promoter <input type="checkbox"/> NRI Non –Repartiable Promoter <input type="checkbox"/> NRI Depository Receipts <input type="checkbox"/> Others (specify) _____
<input type="checkbox"/> <b>FOREIGN NATIONAL</b>	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National Depository Receipts <input type="checkbox"/> Others (specify) _____

### DETAILS OF ACCOUNT HOLDERS

	SOLE/FIRST HOLDER's DETAILS	SECOND HOLDER's DETAILS	THIRD HOLDER's DETAILS
<b>NAME</b>			
<b>PAN</b>			
<b>UID</b>			

### DETAILS OF GUARDIAN (incase the account holder is a Minor)

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

<b>GUARDIAN's NAME</b>	
<b>PAN</b>	
<b>RELATIONSHIP WITH MINOR</b>	

### In case of NRI's / Foreign Nationals -

<b>RBI approval reference number</b>		<b>RBI approval date</b>	D	D	M	M	Y	Y	Y	Y
--------------------------------------	--	--------------------------	---	---	---	---	---	---	---	---

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




<b>NAME</b>		<b>PAN</b>												
-------------	--	------------	--	--	--	--	--	--	--	--	--	--	--	--




Nomination can be made upto three nominees in the account.

	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s) (Mr./Ms.)			
<b>Share of each Nominee</b>			
<input type="checkbox"/> Equally [If not equally, please specify percentage]	%	%	%
<b>Any odd lot after division shall be transferred to the first nominee mentioned in the form</b>			
Relationship With the Applicant ( If Any)			
<b>Address of Nominee(s)</b>			
<b>PIN Code</b>			
<b>Mobile/Telephone No. of nominee(s)</b>			
<b>Email ID of nominee(s)</b>			
<b>Nominee Identification details–[Please tick any one of following and provide details of same]</b>			
<input type="checkbox"/> Photograph & Signature			
<input type="checkbox"/> PAN			
<input type="checkbox"/> Aadhaar			
<input type="checkbox"/> Saving Bank account no.			
<input type="checkbox"/> Proof of Identity			
<input type="checkbox"/> Demat account id			




<b>Below details should be filled only if nominee(s) is a minor</b>			
<b>Name of Guardian (incase of Minor nominee(s))</b>			
<b>Address of Guardian(s)</b>			
<b>PIN Code</b>			
<b>Mobile/Telephone no. of Guardian</b>			
<b>Email ID of Guardian</b>			
<b>Relationship of Guardian with nominee</b>			
<b>Guardian Identification details–[Please tick any one of following and provide details of same]</b> <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat account id			

Name and Signature of Account holder(s)		
Account Holder(s)	Name	Signature of Account Holder(s)
Sole / First Holder / Guardian (in case sole holder is minor) (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

Signature of Witness for nomination		
Name of the Witness	Address	Signature of witness
(a)		
		D D M M Y Y Y Y

(b)		
		D D M M Y Y Y Y

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 to time for such accounts. 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/e 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, "Right and Obligations of the Beneficial Owner and Depository Participant".

	Sole/ First Holder/Guardian (in case sole holder is minor)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
Name			
Signature			



**Notes:**

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8<sup>th</sup> Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instruction related to nomination, are as below :
  - a. 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, partnership firm, 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.
  - b. 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.
  - c. The Nominee shall not be a trust, society, body corporate, partnership firm, 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.
  - d. 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.
  - e. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir
  - f. The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly be the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm, 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.
  - g. 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.
4. For receiving Statement of Account in electronic form :
  - a. Client must ensure the confidentiality of the password of the email account
  - b. Client must promptly inform the participant if the email id has changed.
  - c. 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.
5. Strike off whichever is not applicable.

**TARIFF SHEET – TRADING**

SEGMENT	BROKERAGE	%	MINIMUM BROKERAGE (IN RS)
<b>CM SEGMENT *</b>	Delivery based		
	Intraday		
<b>F&amp;O SEGMENT</b>	Futures		
	Options		Per lot
<b>CURRENCY DERIVATIVES SEGMENT</b>	Currency Futures		
	Currency Options		Per lot

\*Minimum Aggregated brokerage in CM segment will be Rs 25 per scrip for Delivery and Rs 15 per scrip for Intraday trades, subject to regulatory caps, as applicable.

The above rates are exclusive of transaction charge, Stamp Duty, Securities Transaction Tax, SEBI turnover fees, Investor Protection Fund and Goods & Service Tax (GST) which will be charged extra at the rate prevailing from time to time.

Signature of the Applicant:  \_\_\_\_\_



## INDIABULLS VENTURES LIMITED

Corporate Identity Number (CIN): L74999DL1995PLC069631

Registered Office: M-62&63, First Floor, Connaught Place, New Delhi- 110001. Tel.: 011 30252900, Fax: 011 30252901

Correspondence Address: Indiabulls House, 448-451, Udyog Vihar, Phase V, Gurgaon-122016, Haryana. Tel.: (022)61446300, Fax: (0124) 6681111

### SCHEDULE OF CHARGES [NSDL – DP ID: IN-302236 & CDSL DP ID: 12029900] (w.e.f. 1<sup>st</sup> April 2018)

Charge Head		AMC charges *
AMC charges for Basic Service Demat Account (BSDA)	Value of holding upto Rs 50,000	Nil
	Value of holding between Rs 50,001 to Rs 2,00,000	Rs. 100/-
AMC Charges	Individual	Rs. 450/-
	Corporate	Rs. 1000/-
Charge Head		Charges *
Custody Charges		Nil
Transaction Charges (Buy)		Nil
Transaction Charges (Sell)	Non BSDA - Within Indiabulls	Rs. 20/- or 0.02% of the transaction value (whichever is higher)
	Non BSDA - Outside Indiabulls	Rs. 30/- or 0.03% of the transaction value (whichever is higher)
	BSDA	Rs. 50/- or 0.05% of the transaction value (whichever is higher)
Failed Instruction		Nil
Pledge : Creation/Confirmation/Closure/Invocation		Rs. 35/- or 0.02% of the transaction value (whichever is higher)
DEMAT /Conversion		Rs. 5/- per certificate/unit + Rs. 50/- courier charges
DEMAT/Conversion Rejections		Rs. 25/- per rejection + Rs. 50/- courier charges <b>For NRI and OCB clients:</b> Rs. 25/- per rejection + Courier/Postal Charges for Security/MF item, security/MF certificate etc.
REMAT / Redemption/ Restart - SOA		Rs. 35/- for every 100 securities/MF units or part thereof
Delivery Instruction Book		Nil
Fax Indemnity (Optional)		Actual
Courier/Postal Charges of Security/MF item, security/MF certificate etc.		Actual (Applicable for NRI/OCB clients only)
Courier/Postal Charges for dispatch of documents in hard form		Rs 50/- per dispatch
<b>* GST extra</b>		

**Note:**

- In case of delays in the payment of charges, the demat account will be frozen for all operations till such time all dues are cleared subject to 30 days' notice from the payment due date.
- All instructions for transfer must be received in physical form from the clients upto 4:00 PM on "T+1" for pay-in of securities. Late instructions would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at the company's sole discretion and as per revision in NSDL/CDSL charges and are subject to 30 days' notice from the date of applicability.



Signature (First Holder)



Signature (Second Holder)



Signature (Third Holder)

- All payments to be made in the name of "Indiabulls Ventures Ltd." via a cheque/DD payable at the local branch where the account is opened. Out-station cheques will not be accepted.
- Out of pocket expenses incurred on the dispatch of securities for Dematerialization and communication charges incurred on out-station calls/faxes made specifically on request of the client will be charged on actuals.
- Any advance payment over and above the normal amount due can also be made.
- It may be noted that in the event of demat account closure or shifting of demat account to another DP, the upfront annual AMC collected is refundable to the extent of balance quarter(s)
- In case of BSDA Account, the value of holdings exceeds Rs.2,00,000/- on any date or the account holder cease to meet the eligibility criteria for BSDA, then charges would be levied as that applicable to regular account (non-BSDA) from that date onwards.

<b>CHARGES ON NON-PAYMENT OF DUES:</b>			
Penalty and Interest Charges	NSDL	A penalty of 2% per month on the value outstanding on the bill after one month from the due date.	
	CDSL	A penalty of 1.083% per month on the value outstanding on the bill after one month from the due date	
Non-Payment after 30 days	of bill	Temporarily the Depository Services will be withdrawn from the payment due date. The renewal charges for resuming the Services will be Rs. 100/- per account.	



\_\_\_\_\_  
Signature (First Holder)



\_\_\_\_\_  
Signature (Second Holder)



\_\_\_\_\_  
Signature (Third Holder)

**1. Refusal of orders for penny / illiquid stock**

The Stock Broker shall have the absolute discretion, from time to time, to refuse/partially refuse/accept orders in one or more securities due to various reasons including trading in penny stocks, market liquidity, value of security(ies), illiquid options, far month options, writing of options, market capitalization of the stock and such stock not in demat form, securities which are not in the permitted list of the Stock Broker / exchange(s) / SEBI and/or appear under illiquid securities declared by the exchange(s). It is also provided further that Stock Broker may ask for compulsory settlement/advance payment of expected settlement value/delivery of securities for settlement prior to acceptance/placement of order(s) as well. Losses, if any, on account of such refusal by the Stock Broker or due to delay caused by such limits, shall be borne exclusively by the client alone.

The Stock Broker shall not be responsible for any financial or other implications due to such execution, delay in execution or non-execution of any such orders.

The Stock Broker shall have the prerogative to place such restrictions, notwithstanding that the client has sufficient credit or margin available in his account. The Stock Broker, may however, allow for acceptance of such orders, for certain securities on its own discretion, through its specific internal process, instead of allowing such orders through the standard process like online trading platform or its branches.

**2. Setting up client's exposure limits**

The Stock Broker, may from time to time, vary limits or impose new limits for the orders that the client can place through the Stock Broker's trading platforms. The Stock Broker would have the sole discretion on setting these limits based on its risk perception of the client, Margin received from the client, Market conditions and other factors, but not limited to, limits on account of exchange/ SEBI directions/ limits (such as Stock Broker level/ market level limits in security specific/volume specific exposures etc.). This would include exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware that the Stock Broker may be unable to inform the client of such variation, reduction or imposition in advance. The Stock Broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the Stock Broker's trading system on account of any such variation, reduction or imposition of limits.

The Stock Broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the Stock Broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute / allow execution of orders due to but not limited to the reason of lack of margin / securities or the order being outside the limits set by the Stock Broker / exchange / SEBI and any other reasons which the Stock Broker may deem appropriate in the circumstances. Losses, if any, incurred by the client on account of such refusal or delay, shall be borne exclusively by the client alone.

The Stock Broker shall have the prerogative to allow differential buy and sell limits for its clients depending upon credit worthiness, integrity and past conduct of each client.

**3. Applicable brokerage rate**

The Stock Broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

**a. For Cash Market Segment:**

The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is further clarified that where the sale / purchase price value of a share is Rs 10/- or less, a maximum brokerage of 25 paise per share may be charged.

**b. For Option contracts:**

Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on the options contracts shall not exceed 2.5% of the premium amount or Rs 100/- (per lot), whichever is higher.

**c. For Future contracts:**

Brokerage for future contracts shall be charged on the value at which the contracts are bought or sold. It is hereby further clarified that brokerage on the futures contracts shall not exceed 2.5% of the Contract value exclusive of statutory levies. The slab rates of brokerage are function of the cost of the services being provided to the client and would be reviewed from time to time

**4. Imposition of penalty/delayed payment charges/other charges**

The Stock Broker would be entitled to levy or charge delayed payment charges not exceeding 24% per annum on any amounts which are overdue from the client towards trading or on account of any other reasons. The client shall pay to the Stock Broker brokerage, all taxes, duties, levies to the stock exchanges (including any amount due on

account of reassessment / backlogs etc.), transaction expenses, F&O charges, delayed payment charges, short delivery charges, auction charges, cheque stop payment charges, cheque bounce charges, lost token charges, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account /transactions / services that the client avails from the Stock Broker.

The Stock Broker may impose penalties / fines for any orders/trades / deals / actions of the client which are contrary to Stock Broker Client Agreement/rules / regulations / Bye-Laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the Stock Broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders/trades / deals/actions of the client, the same shall be borne by the client.

5. **The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues.** The Stock Broker shall have the right and the prerogative to sell client's securities, both unpaid securities as well as collaterals deposited towards margins, or close out client's open positions, without giving notice to the client where there is either a delay or failure of the client to meet the pay-in/settlement obligations and / or there is delay /failure of the client to bring additional margins to cover the increase in risk in dynamic and volatile market conditions.

The client would be responsible for monitoring his / her / its position (dealings / trades and valuation of security(ies)) on his / her / its own and provide the required /deficit margin / security(ies) forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the Stock Broker to the client and/or whether or not such communication is received by the client. The client is not entitled to trade without adequate margin and that it shall be client's own responsibility to ascertain beforehand the margin requirements for its orders/traders/deals and to ensure that the required margin is made available to the Stock Broker in such form and manner as may be required by the Stock Broker. The client shall ensure that funds/securities are made available in time and in designated form at designated bank(s) and depository account(s) of the Stock Broker, for meeting his/her/its pay-in/settlement obligation of funds and securities. The Stock Broker shall not be responsible for any claim/loss/damage arising out of non-availability/short availability/delayed availability of funds/securities by the client in the designated account(s) of the Stock Broker for meeting the pay-in/settlement obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay-in/settlement through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay-in/settlement for any reason whatsoever including but not limited to any delays/shortages at the exchange or Stock Broker level/non-release of margin by the Stock Broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions / square-off / closing outs etc., shall be solely to the account of the client and the Stock Broker shall not be responsible for the same in any form or manner whatsoever.

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

In the event of client failing to maintain or provide the required margin/fund/security(ies) or to meet the funds/margins/securities pay-in obligations on immediate basis for the orders/trades/deals of the client and the Stock Broker shall have the right, without any further notice or communication to the client, to withhold pay-out of funds/securities, to liquidate security(ies), to disable trading facility to the client.

Losses, if any, on account of any one or more steps, as enumerated herein above, being taken by the Stock Broker, shall be borne exclusively by the client alone.

In case the client does not pay for the securities received in pay-out, then the stock broker shall be entitled to retain those securities up to five trading days after pay-out. Further, where client fails to meet its funds pay-in obligation within five trading days from pay-out, the stock broker shall liquidate the securities to recover its dues.

6. **Shortages in obligations arising out of internal netting of trades**

Short delivery of shares by client(s) against his/her/its selling obligation shall result into either into one or both of the following -

**(a) Short Delivery to the Exchange for scrip at the Trading Member level:**

In case of short delivery to exchange, the settlement happens as per the auction/close-out mechanism of Exchange and auction/close-out debit is passed to the defaulting clients who did not fulfil his/her/its selling obligation.

**(b) Short delivery of pay-out to clients who bought the scrip on that day (Client to Client shortage):**

The shares delivered short shall be purchased on the pay-in date i.e. on T+2 from Normal Market and the purchase consideration amount shall be debited to the defaulting client(s). However when multiple settlements (say S1 and S2) are conducted on the same day (say T<sub>m</sub>), the shares delivered short shall be purchased as under

1. The shares delivered short in first settlement (S1) shall be purchased on T+2 day (T<sub>m</sub>) from Normal Market and the purchase consideration amount shall be debited to the defaulting client(s).
2. The shares delivered short in second settlement (S2) shall be purchased on T+3 day (T<sub>m</sub>) from Normal Market along with shortages of that day and the purchase consideration amount shall be debited to the defaulting client(s).

If the covering rate (internal shortage repurchase) is more than the actual sell rate on T day, the difference amount will be borne by the defaulting client on sell side. If the covering rate (internal shortage repurchase) is less than the actual sell rate on T day, the difference amount will be debited to the defaulting client on sell side and credited in a separate account maintained with Indiabulls Ventures Limited (IVL).

Further, if IVL is unable to buy shares on T+2 day from normal market due to upper side freeze on the scrip or any other reason, the defaulting seller will be debited at the close-out rate and the corresponding buyer will be credited by equivalent amount. The close-out rate will be the highest between the trade date and (T+2) date or 20% above the official closing price on the (T+2) day, whichever is higher. Further if the shares covered against client to client shortages is again received short from any client, the trade will be settled by the close-out debit to seller client and corresponding buyer for whom the shares were covered will be credited by equivalent amount. The close-out rate will be the highest rate between the repurchase date (T day) and auction date i.e. (Repurchase date +2) day or 20% above the official closing price on the auction day, whichever is higher. If the shares repurchased against client to client shortages received short from Exchange, the settlement happens as per the auction/close-out mechanism of exchange.

**(c) Mechanism of choosing corresponding clients on the buy side:**

Corresponding clients on the buy side of scrip A are chosen on the basis of the descending quantity of shares bought by them i.e. first the client (say X) who has purchased highest quantity of scrip A will be picked up and if the shortage of shares is more than the quantity of shares bought by the client X, then the client who has purchased the next highest quantity will be picked up so on and so forth. The shares bought on T+2 in case of Client to Client shortage and shares/credit received from Exchange through auction process in case of Trading Member level shortage are credited to the corresponding client on buy side of scrip A chosen through the aforesaid mechanism.

**7. Conditions under which a client may not be allowed to take further position or the Stock Broker may close the existing position of a client**

The Stock Broker may refuse to execute order of a client or may close the existing position of the client due to lack of margin / securities or the order being outside the limits set by Stock Broker / exchange/ SEBI. Other reasons for not allowing further positions or closing out of existing positions could be as:

- a. Client has not met his pay-in obligations in cash by the scheduled date of pay-in for purchases done in CM segment.
- b. Non-payment or erosion of margins or other amounts, outstanding debts, etc.
- c. Client is dealing in illiquid scrips or contracts/penny stock.
- d. Cheque submitted by the client has bounced or clear funds not received with the Stock Broker for the cheque submitted by the client.
- e. If in the opinion of the Stock Broker, the client has committed a fraud, crime, or acted in contravention to the agreement.
- f. Non-Payment of Marked to Market loss in Cash.
- g. Open positions in a contract exceed or are close to market wide cut-off limits.
- h. Client's position is close to client-wise permissible "open" positions.
- i. Intraday orders after the cut-off time would not be allowed.

**8. Temporarily suspending or closing a client's account**

The Stock Broker can suspend/close the client account and also withhold the pay-outs of client if there is any judicial or/and regulatory order/action requiring suspension/closure of client's account. The Stock Broker can also suspend/close the client account if the Stock Broker observes any abnormal or suspicious activity in the client account through its monitoring and surveillance of the client account. The Stock Broker may also temporarily suspend/close the client account if there is no activity in the client account for a period, as deemed fit by the Stock Broker from time to time. The client's account can also be put under temporary suspension/closure if the client has not cleared the uncovered debit in its account or if the client has not submitted Know Your Client (KYC) details sought by the Stock Broker to fulfil its own surveillance or exchange related requirements.

In the event of information/reports reaching the Stock Broker of the client's death, the account can also be put under temporary suspension/closure.

The Stock Broker can also put the client's account under temporary suspension/closure if the client has failed to provide or update its communication details like correspondence address, Mobile number, landline numbers or E-mail ID.

The client may also request the Stock Broker to temporarily suspend/close his account, Stock Broker may do so subject to client accepting / adhering to conditions imposed by Stock Broker including but not limited to settlement of account and / or other obligation.

#### **9. De-registering a client**

The client has the option to De-register his account after settling his account with the Stock Broker.

The client would be liable to pay all dues in his account before the De-registration. The Stock Broker shall have the right to terminate the agreement with immediate effect in any of the following circumstances:

- a. The client account figures in the list of debarred entities published by SEBI.
- b. The actions of the Client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal / proper functioning of the market, either alone or in conjunction with others.
- c. If there is any legal /regulatory proceeding against the client under any law in force.
- d. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- e. If the Client is in breach of any term, condition or covenant of this Agreement;
- f. When the Stock Broker is informed or ascertains that the client has deceased / become insolvent / not able to act in the market due to lunacy/disability etc.
- g. The Stock Broker shall have the right to close out the existing positions, sell the collaterals to recover any dues with or without consent of the client before the deregistration of the client.
- h. Either party will be entitled to terminate the agreement without assigning any reason, after giving notice in writing of not less than 30days to the other party.

Not with standing any such termination/deregistering, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination/deregistering, shall continue to subsist and vest in/ be binding on the respective parties or his/its respective heirs / executors / administrators / legal representatives / successors as the case may be.

#### **10. INACTIVE CLIENT ACCOUNT**

A client account will be considered as inactive if the client account does not record any trade for 1 year. The trading activity of the client account shall be tracked and a client's account, where no trading is observed for a period of 1 year shall be categorized as inactive (dormant) and put under temporary suspension. Indiabulls Ventures Limited would be placing such accounts under temporary suspension. Once the account is under temporary suspension, the client would not be allowed to login to his account or trade (place orders) either through online mode or by calling/visiting its service branch.

**REACTIVATION:** the client can get such accounts reactivated by placing a reactivation request through either of the following modes -

- a. Sending an e-mail from the registered e-mail address updated in Indiabulls records to the Customer Care Team at [helpdesk@indiabulls.com](mailto:helpdesk@indiabulls.com) or at [grievances\\_ibsl@indiabulls.com](mailto:grievances_ibsl@indiabulls.com)
- b. Sending request in hard copy by submitting the "Account Reactivation Form" directly to our Head office. Alternatively the client can submit the same at the nearest service branch as well.

Indiabulls Ventures Limited shall also have the discretion to reactivate a trading account, after doing adequate due diligence, as the company may consider fit and proper.

#### **CLIENT ACCEPTANCE AND ACKNOWLEDGEMENT**

These policies and procedures may be amended/changed by Indiabulls Ventures Limited, provided the change is informed to the client through any one of the means or method like posting on the website of Indiabulls Ventures Limited or sending by speed post / courier / registered AD/ e-mail. These policies and procedures are to be read along with the document executed and shall be compulsorily referred to while deciding any dispute/difference in claims in between client and Indiabulls Ventures Limited in any court of law, judicial / adjudicating authority, including arbitrator, mediator etc.

**Signature of the applicant (15)** \_\_\_\_\_



**TRADING ACCOUNT ANNEXURES**

**AUTHORITY LETTER FOR MAINTAINING RUNNING ACCOUNT (signing of this letter is optional)**

To,  
Indiabulls Ventures Limited  
Corporate Identity Number (CIN): L74999DL1995PLC069631  
Account Opening Department,  
Indiabulls House, 448-451, Udyog Vihar, Phase V, Gurgaon-122016, Haryana

**Sub: AUTHORITY LETTER FOR MAINTAINING RUNNING ACCOUNT**

Dear Sir/Madam,

Please refer to the trading account opened with you, in my/our name for the purposes of dealing in Capital Markets (CM), Futures & Options (F&O), Currency Derivatives Segments on the stock exchange(s).

With reference to the same, I/we confirm that I/we am/are desirous of regularly dealing in CM, F&O and Currency Derivatives Segments on the stock exchange(s) and request you to maintain a running account for funds on my/our behalf without settling the account on settlement of each transaction on my/our behalf.

I/We understand and agree that no interest will be payable to me/us on the amounts so retained with you.

I/We understand that settlement of my/our account would be done either once in a calendar quarter or once in a calendar month as specified by me/us.

I/We request you to settle funds in my/our account atleast once in a calendar \_\_\_\_\_ except retention of an amount of Rs 10000/- ,net amount across segment and across stock exchanges, in view of the administrative and/or operational difficulties to settle funds account.

I/We agree to check my/our Statement of Account, sent to me/us by you and also available in my/our account on the Indiabulls website (<https://trade.indiabulls.com>), which contains extracts from ledger for funds and displays all receipts/deliveries of funds.

Please further note that while I/We am/are entitled to revoke this authorization at any time, however, such revocation shall be subject to the date of physical receipt of revocation letter at your operations office to allow you to make necessary changes to handle my/our account without running account authorization

Thanking you.

Yours Truly

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

Client ID: \_\_\_\_\_

(To be filled by IVL)

**Signature:** (20) ✍ \_\_\_\_\_

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


(Note: To be signed by the account holder himself/herself, not be to signed by his/her attorney/authorized person etc.)  
For any queries you can call us on our helpline no. 022-61446300 or mail us at [helpdesk@indiabulls.com](mailto:helpdesk@indiabulls.com)

### ANNEXURE - LETTER OF AUTHORIZATION

I/We hereby authorize Indiabulls Ventures Limited (IVL) to act at its discretion for merging balances or transfer of balances kept under my/our various accounts held with NSE, BSE or MCX-SX such as Futures & Options, Capital Market/Margin Trading Account and Capital Market/Cash Account with the same Exchange or with different Exchanges to nullify the debit in any other account belonging to me/us held with yourselves without taking any further instructions from me/us. I/We agree, empower and authorize IVL to merge the securities kept with IVL in various accounts in order to nullify the debit in any account belonging to me/us.

Thanking you.

Yours Truly

Signature  \_\_\_\_\_

### ANNEXURE - Client Undertaking for Prevention of Money Laundering

This is with regards to my/our Trading ID \_\_\_\_\_ with Indiabulls Ventures Limited. I/We hereby confirm that transactions related to sale, purchase and or dealing in securities (capital markets, cash and/or derivative and/or currency segments) executed by me / us are for the purpose of investment of my/our own money and / or for the purpose of dealing in capital markets for my/our own interests.

I/We undertake that: I/we am/are \_\_\_\_\_ (Resident of India/NRI/ Others) and was/were never convicted for any activity subjected to Indian Penal Code and/or any other such activity which is prohibited by the laws of the Land. I/We am/are not a party to any agreement or arrangement, directly or indirectly, to facilitate settlement of my/our transactions with Indiabulls Ventures Limited, where Indiabulls Ventures Limited is a party of such agreement or arrangement. I/We confirm that funds and / or securities used by me/us for settlement of transaction are assets earned by me/us through legal means in my/our own capacity and are not assets qualified under Prevention of Money Laundering Act, 2002 (PMLA).

Signature  \_\_\_\_\_

## **TERMS & CONDITIONS BETWEEN CLIENT & INDIABULLS VENTURES LIMITED**

### **TERMS AND CONDITIONS**

#### **I. GENERAL TERMS AND CONDITIONS**

- A. The Client shall transmit his/her/its orders to the Stock Broker through the Internet over the Stock Broker's website; or through telephone (as per the predefined procedure of forwarding the order through a phone broking executive or in such other manner as the Stock Broker may permit) or through instruction in writing or through oral instructions
- B. The Client hereby authorizes the Stock Broker to rely and act on, and treat as fully authorized by and binding upon the Client, any order, instruction or communication (by whatever means transmitted and whether or not in writing) which purports to have been given and which the Stock Broker reasonably believes in good faith to have been given by the Client or a person duly authorized to act on behalf of the Client and, if the Stock Broker acts in good faith on such instructions, such instructions shall be binding on the Client without restriction and the Stock Broker shall not be under any duty to verify the authenticity of such instructions or the identity of the person(s) giving them. The client agrees that he/she/it shall be responsible to the Stock Broker for all commitments and obligations made or entered into in the Client's name whether in writing or orally and howsoever communicated or purported to be given as aforesaid
- C. The Client shall from time to time shall notify the Stock Broker in writing the names of the persons who are authorized to give instructions relating to this General Terms and Conditions to the Stock Broker on behalf of the Client until the Stock Broker is notified in writing to the contrary.
- D. The Stock Broker shall have the right to add or delete securities for which the facility is made available in its absolute discretion and details of the same would be posted on the website and no separate intimation thereof will be sent to the Client either physically or electronically.

#### **E. DECLARATION**

- i. The Client shall not believe in any promises made about "Assured Returns" by the Stock Broker's employees or Sub-Brokers and/or so called "hot tips", if any.
- ii. The Client shall not rely on any implicit/explicit promise made by the issuer or any third party on returns.
- iii. The Client shall not match/synchronize trades with any other person.
- iv. The Client shall not indulge in any trading activity which results in disturbance of market equilibrium in any manner including manipulation of price of any scrips.
- v. The Client shall always keep track of the margin requirement either by contacting his/her/its Branch or by logging into trading account/website.
- vi. The Client shall not respond to any E-mail from an address appearing to be sent by the Stock Broker or from any other Email ID, asking the Client for his/her/its personal information, account details or information on your User ID and Password of the Client's trading and/or depository account and that it is the Stock Broker's policy not to seek such information through E-mail.

- vii. The Client shall not take help from any employee of the Stock Broker or any other person while resetting his/her/its Password and that in case the Client has taken help from someone while resetting his/her/its password, then the Client shall immediately change his/her/its password again and ensure that the new password is only known to him/her/it.
  - viii. The failure of the Client to understand the risk involved shall not render a contract as void or voidable and the Client shall be and shall continue to be responsible for all the risks and consequences for entering into trades in the segments in which the Client chose to trade
- F. The Client agrees that all investment and disinvestments decisions are based on the Client's own evaluation of financial circumstances and investment objectives. The Client will not hold nor seek to hold the Stock Broker or any of its officers, directors, employees, agents, subsidiaries, affiliates or business associates liable for any trading losses, cost of damage incurred by the Client consequent upon relying on investment information, research options or advice or any other material/information what so ever on the website whether inserted by the Stock Broker or any other agency. The Client is aware that any information on the website based on the research of the Stock Broker or other external sources is subject to normal variations in the stock market and is merely an estimation of the viability or otherwise of certain investments, and the Stock Broker shall not be deemed to have assumed any responsibility for such information. The client also appreciates & acknowledges that the Stock Broker's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any such advice from the Stock Broker or any of its employees. In the event the client relies on the advice and/or any other information available on the website, he/she/it shall be solely responsible for the same.
- G. The Client understands that the Stock Broker may at any time, at its sole discretion and without prior notice to the client, prohibit or restrict the Client's access to the use of the website or related Services and the Client's ability to trade. Client will bear any loss that he/she/it may be faced with due to inability to execute further trades on account of such restriction
- H. The Client shall immediately notify the Stock Broker in writing, delivered via E-mail and/or Registered AD, if the Client becomes aware of any loss, theft or unauthorized use to Client's account ID; and in such eventuality the Stock Broker shall suspend the use of the account of the Client. However the Client shall be responsible and liable for all transactions that are carried out by the use of the Client's user ID and personal details. The Client also understands that the value of the securities may fluctuate due to volatile market condition creating shortfall of margin thus he/she/it shall always keep a track of his/her/its account and keep the account sufficiently funded at all times.
- I. The Client understands that placing an order with the Stock Broker, including a market order does not guarantee execution of the order. The Stock Broker has the absolute right to reject any order that may be made by the Client if the same prima facie appears to be suspicious in nature and/or involves the breach of the requirement of maintaining the prescribed Margin in the Client account or the bank account

The Stock Broker shall not be liable for any losses, damages or claims on account of such rejection or cancellation of any trade.

## **II. Conditions governing transactions in Capital Market**

- A. For change of address or any personal details of the Client, the Client shall send a letter or fax to the Stock Broker duly signed by himself/authorized signatories.

- B. Neither the Stock Broker nor any of the employees shall be liable for erroneous information so provided.
- C. All the personal details provided by the client shall be deemed to be true and correct and in case of any dispute same shall be relied upon. The client undertakes not to dispute and keep the Stock Broker indemnified in the event, if any, if the information is found to be incorrect or false
- D. Neither the Stock Broker nor any of its employees/representatives shall be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by systems failure, network errors, delay or loss of data due to the above and in circumstances of acts of God, floods, epidemics, quarantine, riot or civil commotion and war. Further the Client agrees that he/she/it will not be compensated by the Stock Broker for any "lost opportunity" viz. notional profits due to whatsoever reasons, including but not limited to the reasons mentioned in the MCA

### **III. Conditions governing transactions in Derivatives**

#### **A. Margin**

- i. The Client shall pay the prescribed initial margin in the form of cash and/or in the form of securities (the Margin) with the Stock Broker and the Margin will not be interest bearing. The Stock Broker shall have at its sole discretion, the irrevocable right to set off a part or whole of the Margin i.e. by the way of appropriating of the relevant amount of cash or by sale or transfer of all or some of the Securities which form part of the Margin, against any dues of the Client in the event of the failure of the Client to meet any of their respective obligations.
- ii. The Client also agrees and is made aware that in case intraday loss is such that margin position goes down, Stock Broker can sell any or all securities/positions lying in his/her/its account without giving notice to the Client as it/he/she is also required to keep track of its/his/her margin position. Stock Broker is entitled to square off/sell the position or shares at any time during the day or thereafter in the account & Client undertakes not to raise any dispute & shall not hold Stock Broker responsible for any loss arising thereof.
- iii. The Stock Broker may at its sole discretion prescribe the payment of Margin in the form of cash instead of or in addition to margin in form of securities. The Client accepts to comply with the Stock Broker's requirement of payment of Margin in the form of cash immediately.
- iv. The Client agrees that any securities/cash placed by him/her/it as margin money may in turn be placed as margin by the Stock Broker with the Exchange or banks or such other institution as the Stock Broker may deem fit. The Client authorizes the Stock Broker to do all such acts, deeds and things as may be necessary and expedient for placing such securities/cash with the Exchanges/Banks/Institutions as margin.
- v. In exercise of the Stock Broker's right to sell securities under the General Terms and Conditions, the Client agrees that the choice of specific securities to be sold shall be solely at the Stock Broker's discretion. Any and all losses and financial charges on account of such liquidation / closing-out shall be charged to and borne by the client.
- vi. The Client agrees and empowers / authorizes the Stock Broker to act at its discretion of merging balances kept under various accounts held with the Stock Broker such as, CM Trading Account, F&O Trading Account, Derivatives/Currency Derivatives Trading Accounts, margin trading account etc., to nullify the debit in any other account of the Client held with the Stock Broker without taking any further instructions from the Client

**B. Dealings**

- i. In the event of the sale of any Securities by the Stock Broker at the request of the Client and the inability of the Stock Broker to deliver to the purchaser the securities so sold by reason of the failure of the Client to supply the same, the Stock Broker therewith then, and in such event, but subject to the provisions of applicable laws, rules and regulations, the Client authorizes the Stock Broker to borrow, purchase or otherwise acquire any Securities necessary to make delivery thereof. Further, the Client accepts liability for any premiums which the Stock Broker may be required to pay, and for any losses, costs, charges, expenses or other liabilities whatsoever which the Stock Broker may sustain or incur by reason of the Stock Broker's inability to deliver the Securities in question.
- ii. the Stock Broker shall be liable for any loss sustained by the Client, directly or indirectly, if it is prevented from acting as a direct or indirect result of government restrictions, the imposition of emergency procedures or suspension of trading by any relevant exchange, clearing house or other market, civil disorder, acts or threatened acts of terrorism, natural disasters, war, strikes or other circumstances beyond its control.

**C. Mistaken orders**

The Stock Broker shall not be responsible for any order, that is made by the Client by mistake and every order that is entered by the Client through the use of the allotted user name and the security code(s) shall be deemed to be a valid order for which the Client shall be fully responsible

**D. Voice recordings**

- i. The Client hereby acknowledges and agrees to the use of voice recording devices by the Stock Broker of any telephone conversation between the Stock Broker and the Client and any of the Client's authorized persons, employees, officers or agents, without an automatic tone warning device in order to permit the Stock Broker to verify data concerning any matters relating to the purchase and/or sale of Securities.

The Client agrees to accept the contents of any such recording as final and conclusive evidence of communications from the Client given by the Client or on behalf of the Client in case of dispute.

- ii. The Stock Broker endeavors to record all the conversation between the Stock Broker and the client, however the client understands that certain transactions may not be captured/recorded due to technical defects, certain unforeseen events and non-availability of the said facility in the concerned branch therefore non-availability of any one or all of the voice recording do not render the transactions invalid & same shall be binding on the client

**E. Conclusiveness of records**

The Stock Broker's own records of the trade/transaction maintained through computer system or otherwise shall be accepted as conclusive and binding on the Client for all purposes

**IV. Stock Broker Client Communication**

**A. Electronic communication of documents**

The Stock Broker shall send to the Client by electronic means the trade confirmation of the trades executed, bill and account statement. The Client agrees that the Stock Broker fulfills its legal obligation to deliver to the Client any such document if sent via electronic delivery. The Client



understands that it is his/her/its responsibility to review, upon first receipt, whether delivered to Client by mail, E-mail (including any auto replies from the system of the Stock Broker) or other electronic means, all confirmation statements, notices, bill and other communication or the contract notes via the physical mode. And the e-mail address provided by the client in the KYC and any subsequent updation shall be final and binding on the client. The Client also agrees that the Stock Broker shall not take cognizance of out of-office/out-of-station auto replies and the Client is deemed to have received such electronic mails. The Stock Broker shall send Ledgers, STT Statement and all other statements only on Clients registered E-mail ID

**B. Change of Address/Contact Details**

Unless the Client informs the Stock Broker of the change of the address for communication and/or contact details viz. mobile number/landline number in writing all notice, circulars, communication or mail sent to the existing address and/or contact number(s) shall be deemed to have been received by the Client

**C. Notice/Policies**

Certain policies and/or procedures may be further outlined on the Stock Broker's website and material/literature and frequently asked question (FAQ's) provided to the Client. Through the use of the Stock Broker's website and services the Client agrees to be bound by any and such notices, policies and terms of doing business

**D. Security Code(s), Security Precaution and Infrastructure**

**i. Use of Client ID Password**

The Client confirms and agrees that it will be the sole authorized user of the User name, Password, Client User Identification Number, Telephone Personal Identification Number (T-Pin) or other identification or security code by whatever name called, to be given to it by the Stock Broker to access Stock Broker's system or service through Stock Broker's website, over the telephone or in such manner as may be permitted by the Stock Broker for availing of the service. The Client accepts sole responsibility for use, confidentiality and protection of the User name Password, Client User Identification Number, T-Pin or other security code(s) as issued by the Stock Broker to the Client from time to time (hereinafter referred to as 'security codes' as for all orders and information changes entered into the Client's account using such security codes).

The Client shall ensure that such security code(s) is not revealed to any third party. If the Client forgets the security code(s) a request change of such security code(s) should be sent to the Stock Broker in writing. On receipt of such request the Stock Broker shall discontinue the use of the old Security code(s) and shall generate new security code(s) for the Client which shall be communicated to the Client. However, the Client shall be responsible and liable for all transactions that are carried out by the use of the only Security code(s). Neither the Stock Broker nor any of its officers, directors, employees, agents, affiliates or subsidiaries will have any responsibility or liability to the Client or to any person whose claim may arise with respect to any of the circumstances described above

**ii. Client's infrastructure**

For the purpose of these Terms, it is presumed that the Client has all the necessary and compatible infrastructure ready at its end for the purpose of accessing the website of the

Stock Broker or contacting the phone broking executive of the Stock Broker prior to accessing the service provided pursuant to these terms. The Stock Broker will not (and shall not be under any obligation to) assist the Client in installing the required infrastructure or obtaining the necessary equipment permits and clearance to establish connectivity or linkages to the website of the Stock Broker

**iii. Prevention of unauthorized use**

The Client will install the necessary safeguards and access restrictions to prevent unauthorized use of Client computer systems or security code and ensure that no unauthorized person can gain access to the computer systems or such security codes

**iv. Liability for incorrect instructions**

The Client agrees to fully indemnify and hold harmless the Stock Broker for any losses, expenses or other consequences arising from the execution of incorrect/ambiguous or fraudulent instruction that got entered through the system at the Client's end

**E. Miscellaneous provisions governing the terms**

**i. Limitation of liability**

- a) The Stock Broker does not guarantee and shall not be deemed to have guaranteed, the timeliness, sequence, accuracy, completeness, reliability or content of market information, or message disseminated to the Client. The Stock Broker shall not be liable for any inaccuracy, error or delay in, or omission of, **(1)** any such data information or message, or **(2)** the transmission or delivery of any such data, information or message; or any loss or damage arising from or occasioned by
  - i. Non-performance, or
  - ii. interruption in any such data information or message, due to either any act or omission by the Stock Broker or to any 'force majeure' event (e.g. flood, extraordinary weather condition, earthquake or other act of God fire, war, insurrection riot labor dispute, accident, action of movement communications, Power failure, shut down of systems for any reason {including on account of computer viruses}, equipment of software malfunction) or anyother cause beyond the reasonable control of the Stock Broker
  
- b) The Stock Broker shall not be liable for any such inaccuracy, error, statement, or representations committed by any person or other associated third parties engaged by the Stock Broker to promote the services offered by it. The Client agrees that he/she/it places no reliance on such persons and will exercise due care and diligence in relying on any statements made by such persons.

**ii. Warranties of client**

The Client hereby represents and warrants that the terms and conditions of these General Terms and Conditions have been clearly understood and that the information furnished to the Stock Broker is accurate and truthful. The Client confirms that he/she is of legal age and he/she/it has understood & obtained, if required, the necessary approvals from the relevant regulatory/legal and compliance authorities to access the services provided pursuant to these terms.

- a) The Client further agrees that he/she/it will not be compensated by the Stock Broker for



any “lost opportunity” viz. notional profits on buy/sell orders which could not be executed due to any reason whatsoever, including but not limited due to time lag in the execution of the order or the speed at which the system of the Stock Broker or of the Exchanges is operating, any shutting down by the Stock Broker of his/her/its system for any reason of the Stock Broker disabling the Client from trading on its system for any reason whatsoever

iii. **Severability and Amendment**

If any provisions of these Terms are held invalid or enforceable by reason of any law, rule, administrative order or judicial decision by any court, regulatory or self-regulatory agency or body, such invalidity or unenforceability shall attach only to such provision or terms held invalid. The validity of the remaining provisions and terms shall not be affected thereby and these terms shall be carried out as if any such invalid/unenforceable provisions or terms were not contained herein. Words and expressions which are used this General Terms and Conditions, but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Bye- Laws and Regulations of the exchange(s) and circular issued there from.

This General Terms and Conditions can be altered, amended and /or modified by the parties mutually in writing without derogating from the contents of this General Terms and Conditions

F. **Credit inquiry**

The Client authorizes the Stock Broker to conduct at any time a credit inquiry or check on the Client for the purpose of ascertaining the financial situation and investment objectives of the Client and the Client shall provide such financial and other information to the Stock Broker as may be required by the Stock Broker from time to time.

G. **Foreign jurisdiction**

This General Terms and Conditions does not constitute an offer to sell or a solicitation of an offer to buy any shares, securities or other instruments to any person in any jurisdiction where it is unlawful to make such an offer or solicitation. The services covered under this General Terms and Conditions are not intended to be any form of any investment advertisement investment advice or investment information and has not been registered under any securities law of any foreign jurisdiction and is only for the information of any person in any jurisdiction where it may be lawful to offer such a service. Further, any information on [www.indiabulls.com](http://www.indiabulls.com) is to be construed as a representation with respect to shares, securities or other investment regarding the legality of an investment therein under the respective applicable investment or similar laws or regulation of any person or entity accessing [www.indiabulls.com](http://www.indiabulls.com).

H. **Proprietary Trading**

The Member discloses herewith that it undertake Proprietary trading in addition to Client based trading.

I. **Electronic Payment Gateway**

- i. The Client understands that issuing an online instruction to transfer fund do not guarantee the credit of the money as the same may be delayed due to time lag in Gateway transfer process, or any other technical or other reasons whatsoever beyond the control of the Stock Broker. The

Client undertakes to bear the resultant loss, if any arising out of such eventuality

ii. **Electronic Payment Gateway for Net banking Service**

The Stock Broker shall endeavor to provide through Electronic Payment Gateway for Net banking, such service as the Stock Broker may decide from time to time. The Stock Broker reserves the right to decide the type of services which may be offered on each account and may differ from Client to Client. These facilities shall be offered in a phased manner at the discretion of the Stock Broker. The Stock Broker may also make additions/deletions to the services offered through Electronic Payment Gateway for Net banking at its sole discretion. The availability/non-availability of a particular service shall be advised through E-mail or web page of the Stock Broker or written communication

iii. **Password**

The Client understands and agrees that it/he/she must:

- a) Keep the password totally confidential and not reveal the same to any third party.
- b) Choose a password that shall consist of a mix of alphabets, numbers and special characters, which must not relate to any readily accessible personal data such as it/his/her name, address, telephone number, driver license etc. or easily guessable combination of letters and number.
- c) Commit the password to memory and not record them in a written or electronic form, and
- d) Not let any unauthorized person have access to their computer or leave the computer unattended while accessing Electronic Payment Gateway for Net banking.
- e) In case the Client forgets the password for their account with the Stock Broker, it/he/she can request for change of the password. Such replacement shall not be construed / deemed as the commencement of a new contract.

iv. **Transaction Processing**

All the requests for instantaneous transactions will be given effect to instantaneously. In case requests for effecting any transactions are received on weekly offs/holiday/public holidays, with the Stock Broker, the Exchange & bank, they shall be effected on the immediately succeeding working day on the terms and conditions prevailing on that day. The Client shall not hold the Stock Broker or the bank responsible for not processing/effecting any transaction in case the Stock Broker does not receive instruction to this effect even though they have forwarded the same

v. **Risks**

The Client hereby acknowledges that it/he/she is availing the Payment Instruction Service at it/his/her risk. These risks would include but not limited to the following risks

a) **Misuse of Password**

The Client acknowledges that if any third person obtains access to their password, such third person would be able to provide Payment Instructions to the Stock Broker. They shall ensure that the terms and conditions applicable to the use of the password as contained in the Electronic Payment Gateway for Net Banking Terms and Conditions are compiled with at all times

**b) Internet frauds**

The Internet per se is susceptible to number of frauds, misuse, hacking and other actions, which could affect Payment Instruction to the Stock Broker. Whilst the Stock Broker shall aim to provide security to prevent the same, there cannot be any guarantee from such Internet frauds, hacking and other actions, which could affect Payment Instructions to the Stock Broker. The Client shall separately evolve/evaluate all risks arising out of the same.

**c) Mistake & Errors**

The filling in the applicable data for transfer would require proper, accurate and complete details. For instance, the Client is aware that they would be required to fill in the account number of the Stock Broker to whom the funds are to be transferred. In the event of any inaccuracy in this regard, the funds could be transferred to incorrect accounts and there is no guarantee of recovery thereafter. The Client shall therefore take all care to ensure that there are no mistakes and errors and that the information given by the client to the Stock Broker in this regard is error free, accurate, proper and complete at all points of time. On the other hand in the event of my in this regard is error free, accurate, proper and complete at all points of time. On the other hand in the event of the clients Account receiving an incorrect credit by reason of a mistake committed by some other person, the Stock Broker or the bank shall be entitled to reverse the incorrect credit at any time whatsoever without the consent of the client. The client shall be liable and responsible to Stock Broker and accede to accept the Stock Broker's instructions without questions for any unfair or unjust gain obtained by me as a result of the same.

**d) Transactions**

The transactions, in respect of transfer of the funds may not fructify, the Stock Broker is merely providing it/him/her services whereby the said funds would be transferred.

**e) Technology Risks**

The technology for enabling the transfer of funds and the other services offered by could be affected by virus or other malicious, destructive or corrupting code, programme or macro. It may also be possible that the site of the Stock Broker or the bank may require maintenance and during such time it may not be possible to process the request of the Clients. This could result in delays in the processing of instructions or failure in the processing of instructions and other such failure and inability. The client understands that the Stock Broker disclaims all and any liability, whether direct or indirect, whether arising out of loss or profit or otherwise arising out of any failure or inability by the Stock Broker to honour any Client instruction for whatsoever reason. The client understands and accepts that the Stock Broker shall not be responsible for any of the aforesaid risk. Client also accepts that the Stock Broker shall disclaim all liability in respect of the said

**f) Indemnity**

The Client shall indemnify the Stock Broker from and against all losses and damages that may be caused as a consequence of breach of any of the Electronic Payment Gateway for Net banking Terms and Conditions and the terms and conditions mentioned herein above.

**g) Withdrawal of Facility**

The Stock Broker shall be entitled to withdraw this service at any time whatsoever without assigning any reason whatsoever and/or any notice to the Client

**h) Charges**

The Client hereby agrees to bear the charges as may be stipulated by the Stock Broker from time to time for availing of these services.

**i) Binding nature of above terms and conditions**

The Client agrees that by use of this facility, the Client shall be deemed to have agreed to all the above terms and conditions and such terms and conditions shall be bound on it/him/her in the same manner as if it/he/she has agreed to the same writing

**j) Disclosure of personal information**

The Client agrees that the Stock Broker or its contractors may hold and process the Client's Personal Information on computer or otherwise in connection with Electronic Payment Gateway for Net banking service as well as for statistical analysis and credit scoring. The Client also agrees that the Stock Broker may disclose, in strict confidence, to other institutions, such Personal Information as may be reasonably necessary for reasons inclusive of, but not limited to, the following:

- i. For participation in any telecommunication or electronic clearing network in compliance with a legal directive
- ii. For credit rating by recognized credit scoring agencies.
- iii. For fraud prevention purposes

**k) Stock Broker's Lien**

The Stock Broker shall have the right of set-off and lien, irrespective of any other lien or charge, present as well future on the deposits held in the Client accounts and stocks whether in single name or joint name(s), to the extent of all outstanding dues, whatsoever, arising as a result of the Electronic Payment Gateway for Net banking service extended to and/or used by them

**l) Non-transferability**

The grant of facility of Electronic Payment Gateway for Net banking to them is not transferable under any circumstance and shall be used only by the Client

**m) Termination of electronic payment gateway for the net banking service**

- i. The Client may request for termination of the Electronic Payment Gateway for the Net banking facility any time by giving a written notice of at least 15 days to the Stock Broker. The Client agrees that he/she/it will remain responsible for any transactions made on their Electronic Payment Gateway for Net banking account(s) through Electronic Payment Gateway for Net banking prior to the time of such cancellation of the Electronic Payment Gateway for Net banking service.
- ii. The closure of all the Accounts of the Client will automatically terminate the Electronic Payment Gateway for Net banking service.
- iii. The Stock Broker may suspend or terminate Electronic Payment Gateway for Net banking facilities without prior notice.

**n) Corporate benefits; settlement cycle**

The Client understands that for corporate benefits / actions like Right issue / Open offers etc. where shareholders are required to apply to the company, it is the Client's responsibility to track announcements of such corporate benefit and then apply to the company if Client so desires. Stock Broker shall not be liable for any real or national loss suffered by the Client, if Client fails to apply to such corporate benefits in time for the shares held by the Stock Broker on behalf of the Client. In some cases, Stock Broker at the Client's request may apply on behalf of the Client for a Rights Issue / Open offer for the shares held by Stock Broker on behalf of Client. Stock Broker shall not be liable for any loss / claim whatsoever in case such application is rejected by the Registrar / Company / Manager to the issue for any reason.

**J. Brokerage & other charges**

- i. The Client agrees to pay to the Stock Broker the brokerage charges, Exchange related charges, Statutory levies, for F&O position, Bank Charges for Realization of Cheque/return of Cheque and any other charges whatsoever (including but not limited to security handling charges on settlement) as are prevailing from time to time and as they apply to the Client's account in respect of transactions and services that the Client receives from the Stock Broker. The Stock Broker agrees that it shall not charge brokerage more than the maximum brokerage permissible as per Rules, Regulations and Bye-Laws of the Exchanges/SEBI. The brokerage shall be paid in the manner intimated by the Stock Broker to the Client from time to time, including as a percentage of the value or the trade or as a flat fee or otherwise, together with the service taxes as may be applicable from time to time on the same. The Client further agrees to pay any applicable taxes that may be levied on the transaction.
- ii. The Client expressly agrees and authorizes the Stock Broker to debit the charges, by whatsoever name called by, levied to his/her/its demat account maintained with Indiabulls Ventures Limited and/or also debit the bank charges for the realization of cheques/return of cheques, if any, to his/her/its account

**Miscellaneous**

The Client shall from time to time upon the request of the Stock Broker promptly and duly execute and deliver any and all such further instrument and documents that may be required by the Exchanges and/or regulatory authorities or as the Stock Broker may deem desirable for the purpose of obtaining the full benefit of this General Terms and Conditions and of the rights and powers granted under it.

Client Signature  \_\_\_\_\_

**POWER OF ATTORNEY FOR OPERATING DEMAT ACCOUNT  
(Note: Execution of Power of Attorney is not mandatory)**

KNOW ALL MEN BY THESE PRESENTS THAT I/We (First Holder / Authorized Person), .....  
..... S/o, D/o, W/o .....

Nationality Indian, residing at.....  
.....

I/We (Second Holder / Authorized Person), .....  
..... S/o,D/o,W/o .....

Nationality Indian, residing at.....  
.....

I/We (Third Holder / Authorized Person), .....  
..... S/o,D/o,W/o.....

Nationality Indian, residing at .....  
.....

an individual (hereinafter referred to as the "Client") do hereby nominate, constitute and appoint INDIABULLS VENTURES LIMITED (hereinafter referred to as "IVL"), a company incorporated under The Companies Act, 1956 in Delhi and a Member of the National Stock Exchange of India Limited (hereinafter referred to as "NSE") and Bombay Stock Exchange Limited (hereinafter referred to as "BSE") (hereinafter referred to as the "Exchanges"), also a Participant of Central Depository Services Limited (hereinafter referred to as "CDSL") and National Securities Depository Limited (hereinafter referred to as "NSDL") and operating for the purpose of these presents from its Registered Office in India situated at M -62 & 63, First Floor, Connaught Place – 110001, acting through any of its Directors and/or officers duly authorized by it for the purpose, as my/our true and lawful Constituted Attorney (hereinafter referred to as the "Attorney") and authorize it on my/our behalf and at my/our risk and costs, with full authority, to do or cause to be done, all or any of the following acts, deeds, matters and/or things:

1. To operate Beneficiary account no. \_\_\_\_\_ held by me/us maintained with IVL, a Depository Participant, and execute delivery instruction slips to effect transfer of shares/securities from my/our beneficiary account(s), for the purpose of meeting all of my/our obligations including my/our obligations under the margin trading scheme/agreement and shall include upfront margin ("Margin"), liquidation of Margin Trading Stock and transfer of the same from the clients margin account to client's demat account and/or delivery obligation(s) arising out of my/our trades on any recognized Stock Exchange through IVL (stock exchanges shall include exchanges in which IVL may become a member in future)
2. To pledge the securities held by me/us in my/our afore mentioned account/s in favor of any Exchange and/or IVL /and /or any other entity IVL may deem fit for the purpose of meeting my/our margin requirement pertaining to the trades executed by me/us on any Stock Exchange through IVL.
3. To apply for any corporate benefits such as open offers, rights issues, buyback, redemptions etc. accrued on the securities in my/our beneficiary account(s)..
4. To transfer securities held in my/our aforesaid beneficial account(s) for meeting the "Margin" and/or delivery obligation and/or towards pledge requirements and/or such instructions as may be necessary to fulfill my/our obligations arising out of trades done by me/us through IVL and effect the same to/from the following accounts or any other account that IVL shall inform me/us in writing from time to time and such account no.(s) shall form a part of this POA: 1202990000000021, 1100001100015099, 1202990000000061, 1202990000000074, 1100001000014348, 1202990005621760, 1100002300000106, 1100002400000345, 1202990005658191, 1202990005658208, 1202990006669192, 1202990006669188, 1202990006719249, 1202990006669232, 1202990006719331, IN302236-12453266, IN302236-12483341, IN302236-12483333, IN302236-12483350, IN302236-12483325; CMBP ID: IN559097, CMBP ID: IN609079, IN302236-10180250, IN302236-10000284, IN301549-17876895, any account of IVL to which the CM-ID (s) IN559097, IN609079 are associated /mapped.

(21) \_\_\_\_\_  
Sole/First Holder's Signature

(21) \_\_\_\_\_  
Second Holder Signature


(21) \_\_\_\_\_  
Third Holder (Signature)


(20) \_\_\_\_\_ Third Holder (Signature)  
 (20) \_\_\_\_\_ Second Holder Signature  
 (20) \_\_\_\_\_ Sole/First Holder's Signature



5. To return to me/us the security(ies):
  - i. which in the sole and absolute discretion of IVL, are considered to have been received by IVL erroneously; or
  - ii. which IVL, in its sole and absolute discretion considers to be not entitled to receive from me/us
  - iii. All such securities shall be returned back to the account in which the same were erroneously transferred
  
6. I/We agree that in view of the above only the Attorney shall be entitled to deal with the shares lying in the demat account(s) mentioned in Point Number 1.
  
7. To apply for and/or subscribe to and/or sign any application form, enter into any agreement, with respect to various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers, etc. ,(herein after referred to as the "IPO Products"),that are offered through IVL website <https://trade.indiabulls.com> ("Website"), and also through the Power Indiabulls desktop application, or any other means as per instructions made available to IVL by me/us through internet/by electronic mail or through any other mode as specified on the website or otherwise from time to time, and/or enter into correspondence with any party including SEBI, or NSE or BSE or any Exchanges or Registrar to the IPO Products or Lead Managers to the IPO Products and/or receive intimation from the Exchanges and/or any other party regarding the allocation/ allotment /rejection/regret of the securities or such other IPO Product applications/ subscriptions / withdrawal or any other communications or forward all such bids/ applications, sign cheques or any other documents, and/or deposit/transfer on allotment, the securities and/or all other IPO Products applied through IVL, to my/our linked and approved depository account with IVL and/or sign instructions on my/our behalf with respect to debit/credit in the depository account(s) to the credit or benefit of my/our account with IVL, and the transactions carried out by me/us with IVL for IPO Products and/or debit my/our trading account towards application money/ premium/ monies/ fees/ charges etc. payable through or to IVL or to any of the affiliates/subsidiaries of IVL by virtue of me/us applying to IPO Products or using any of the Services provided either by IVL or through IVL at my/our instructions and/or correspond with, and give notice of, to the corresponding asset management company/body corporate(s)/issuer /registrar and transfer agent of securities, including giving instructions with regard to nomination/ change in information/ any other changes that may be necessitated, on my/our behalf and/or to do all other acts and things as may be necessary to effect the subscription/purchase/redemption or any other transaction in any IPO Product for the services availed from IVL and all such other acts as may be deemed necessary to give effect to the purposes for which this attorney has been executed in favor of IVL.
  
8. This power of attorney shall be valid for any IPO Products transaction carried on with IVL and it will be in order for IVL to credit proceeds to the account chosen by me/us at the time of application. I confirm having read and understood the contents of the offer documents of various schemes of IPO Products in which IVL is required to apply on my/our behalf, and I undertake not to hold IVL liable for any IPO Product transaction processed on my/our behalf for any loss that may result from failure/inability in electronic connectivity of rejection on my/our IPO Product application for any reason whatsoever.
  
9. I/We shall be the exclusive beneficiary of the transactions carried out pursuant to this power of attorney
10. I/We hereby covenant, ratify and confirm that all acts done and documents executed or signed by the Attorney pursuant to this Power of Attorney has been made done and executed in good faith and shall for all purposes be valid and binding on me/us and I/we irrevocably and unconditionally undertake to indemnify the Attorney against all actions, proceedings, claims, costs, expenses and liabilities of every description arising from the exercise, or the purported exercise in good faith, of any of the powers conferred by this Power of Attorney.




(22)  \_\_\_\_\_  
**Sole/First Holder's Signature**

(22)  \_\_\_\_\_  
**Second Holder Signature**

(22)  \_\_\_\_\_  
**Third Holder (Signature)**

11. The authority hereby conferred in favor of the attorney may be revoked by me/us at any time without notice; However IVL shall act on such revocation sent by me/us to IVL in writing only on receiving of the said notice, at INDIABULLS VENTURES LIMITED, DP Department, Indiabulls House, 448-451, Udyog Vihar, Phase V, Gurgaon-122016, Haryana, The said notice shall be a duly signed original written communication & IVL shall give effect to the said notice of revocation only after all monies, amounts, dues, charges, expenses, etc. by whatever name called, payable by me/us to IVL have been fully and duly paid by me/us. Further I/we hereby authorize IVL to send the consolidated summary of my/our script-wise buy and sell positions taken with average rates to me/us by way of SMS/e-mail on daily basis and confirm that all such SMS/e-mails shall be considered as proof of such positions and the resultant effect on the aforementioned dues.
12. I irrevocably and unconditionally undertake to indemnify the Attorney against all actions, proceedings, claims, costs, expenses and liabilities of every description arising from the exercise, or the purported exercise in good faith, of any of the powers conferred by this Power of Attorney
13. This Power of Attorney shall be governed by, and construed in accordance with, the laws of India and shall be subject to the jurisdiction of the Courts in Delhi
14. IVL may acquire membership(s) of various other stock exchange(s) in future and may facilitate me/us to trade on those other stock exchange(s) subject to my/our entering in to the relevant agreement with IVL for trading on those other stock exchange(s). In such an event, this POA shall be fully valid and binding on me/us with respect to my/our account in such other Exchange(s) also, for all the acts, deeds, matters and /or things, done or caused to be done by IVL therein as authorized by me/us herein.

IN WITNESS whereof I/We set my/our hands on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_ at \_\_\_\_\_.

	Sole / First Holder	Second Holder	Third Holder
Name			
Client Signature (23) 			
Witness Signature 	Witness Signature 		
Witness Name :	Witness Name :		
Witness Address:	Witness Address		

Note: Signing for SMS alert facility is mandatory for clients opting for POA facility

**I Accept  
For Indiabulls Ventures Limited**




## **Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Service offered by CDSL (Annexure 2.6)**

### 1. Definitions:

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

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
  - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
  - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered/shall enter into an arrangement for providing the TRUST service to the BO.
  - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
  - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time.. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
  3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
  4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
  5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
  6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
  7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
  8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
  9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed /made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
  10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.

11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non-receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
17. Indemnity: In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
18. Disclaimer: Depository shall be absolved of any liability in case:-
  - a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
  - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
  - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

	SOLE/FIRST HOLDER DETAILS	SECOND HOLDER DETAILS	THIRD HOLDER DETAILS
<b>NAME</b>			
<b>Signature</b> 			
<b>(In case of Joint Holders all the Demat Account holders need to compulsorily sign this document)</b>			

**Annexure - Option for issuance of DIS booklet**




*(To be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager)*

DP ID										Client ID									
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Name(s) of account holder(s)	
Sole/ First holder	
Second holder	
Third holder	

**Option for Issue of DIS booklet (please tick any one)**

- Option 1: I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening
- Option 2: I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date

Beneficial Owner	Name	Signature with date
Sole/ First holder		
Second holder		
Third holder		


# INDIABULLS VENTURES LIMITED

## CONSENT/ACKNOWLEDGEMENT

We acknowledge and declare that We have received, read and understood, acknowledged and agreed to the contents of -

### Trading Account:

- a. The Rights and Obligations Stock Broker, Sub-Broker and clients for trading on exchanges(including additional rights & obligations in case of internet / wireless technology based trading)
- b. Uniform Risk Disclosure Documents (for all segment/exchanges)
- c. Guidance Note detailing Do's and Don'ts for trading on exchanges
- d. Policy and Procedure
- e. Terms and Conditions between Client & Indiabulls Ventures Limited


Client Signature:  \_\_\_\_\_

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

Client Code: \_\_\_\_\_  
(to be filled by IVL)

### Demat Account:

- a. The Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
- b. Guidance Note - Do's and Don'ts for investor
- c. Terms and Conditions-cum-Registration form for receiving SMS alert (NSDL and CDSL)

	SOLE/FIRST HOLDER's DETAILS	SECOND HOLDER's DETAILS	THIRD HOLDER's DETAILS
<b>NAME</b>			
<b>Signature</b> 			
<b>Demat Account No.</b> (to be filled by IVL)			

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