

YSL Scheme Code: \_\_\_\_\_

Company Code: \_\_\_\_\_

Promo Code: \_\_\_\_\_

YSL Product: \_\_\_\_\_

YSL Lead ID

Affix Branch  
Inward Stamp  
here

**Application Form No.** :

(For Head Office use only)

**Client ID** :

**Date (DD/MM/YYYY)** :

(For Branch use only)

**Branch Code** :

**Branch Name** :

**Inward No.** :

**Tracker ID** :

**UCC** :

**Risk Categorization** :

**FOR OFFICE USE ONLY**

LG Code  LG Employee Name \_\_\_\_\_

LC Code  LC Name \_\_\_\_\_

AP Code  AP Name \_\_\_\_\_

**YES SECURITIES**

**ACCOUNT OPENING FORM**  
For Resident Individuals  
No Cash Accepted

**Do not forget to take your Acknowledgement Copy**

**PART A**

**YES Securities (India) Limited**  
Unit No. 602 A, 6th Floor, Tower 1 & 2, Indiabulls Finance Centre, Elphinstone Road,  
Mumbai - 400013, Maharashtra, India.

## INDEX OF THE DOCUMENTS

Sr.No.	Name of the Document	Brief Significance of the Document	Section	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES				
1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction / check list	PART A	1,7-8,21
		B. Additional KYC details for opening Demat Account with YES BANK Ltd. Form 10: Form For Nomination / Cancellation Of Nomination	PART A	2-4
		C. Document captures the additional information about the constituent relevant to trading account and an instruction/ check list.	PART A	5-6 & 21
2	Tariff sheet	Documents detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) and for operation of Demat Account with YES BANK Ltd.	PART A	9,20
3	Rights and Obligations of Beneficial Owner and Depository Participant	Document stating the Rights & Obligations of Depository Account Holder.	PART A	19
4	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	PART B	Separate Copy for Client
5	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	
6	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	PART B	
7	Policies and Procedures	Document describing significant policies and procedures of the stock broker	PART B PART A	
8	CKYC Annexure	For Resident / Non - Resident Individuals	PART A	22-23
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER				
9	Power of Attorney	Document required for linkage of Bank and Demat account for experience of seamless trading in securities.	PART A	13-15
10	Voluntary Authorizations and Declarations	Declarations/ Authorization from client for various purposes including maintaining account on running basis.	PART A	16-18
11	Voluntary Clauses	Additional clauses other than specified by SEBI to facilitate transaction of client.	PART C	Separate Copy for Client
12	Intimation of Prevention of Money Laundering Act	Document is to make the client aware of Prevention of Money Laundering provisions.	PART C	
13	Rights and Obligations of Beneficial Owner and Depository Participant	Document stating the Rights & Obligations of Depository Account Holder.	PART D	
NON - MANDATORY - PRODUCT REGISTRATION FORM				
14	Margin Trading Facility (MTF)	Right & Obligations / Terms & Conditions to avail MTF	PART A	24-25

Name of stock broker/trading member/clearing member	YES Securities (India) Ltd.
Registered Office Address:	Unit No. 602 A, 6th Floor, Tower 1 & 2, Indiabulls Finance Centre, Elphinstone Road, Mumbai - 400013, Maharashtra, India. Website: www.yesinvest.in Tel:(022) 7112 3123
Correspondence Office Address:	
Compliance Officer Name, Phone No. & Email ID:	Mr. Vaibhav Purohit, (022) 3347 9208, compliance@ysil.in
CEO Name, Phone No. & Email ID:	Mr. Prasanth Prabhakaran (022) 3347 9688, ceo@ysil.in

Exchange	Member Code	SEBI Reg. No.	Segment	Date	For any grievance/dispute please contact YES Securities (India) Ltd. at the above address or email us at igc@ysil.in or call at (022-7112 3123). In case you are not satisfied with the response, please contact concerned exchanges-BSE at is@bseindia.com; Phone No. 022-2272 8097, NSE at ignse@nse.co.in; Phone No. 1800 22 0058 and MCX at grievance@mcxindia.com; Phone No. 022-6649 4070
BSE	6538	INZ000185632	Cash	8-Jul-13	
BSE	6538		Derivatives	8-Jul-13	
BSE	6538		Currency	29-Sep-14	
NSE	14914		Cash	8-Jul-13	
NSE	14914		Derivatives	8-Jul-13	
NSE	14914		Currency	8-Jul-13	
MCX	56355		Commodity	10-Dec-18	

## FIRST HOLDER

Please fill this form in ENGLISH and in BLOCK LETTERS with BLACK INK Only

(Please tick ☒ the appropriate)

## IDENTITY DETAILS

Prefix ☐ Mr. ☐ Ms. ☐ Others

Applicant name

☐ Father ☐ Spouse name (Mandatory)

Gender ☐ M ☐ F ☐ T Marital status ☐ Single ☐ Married ☐ Others Date of birth

PAN  (Mandatory for Demat / ISA) City of birth  Country of birth

Aadhaar No.  Evidence / Documents provided in case of PAN exemption

Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National Nationality ☐ Indian ☐ Other, please specify

ID proof submitted ☐ PAN ☐ Other, pls specify  Valid till

Acknowledgement No. 

Please affix your recent passport sized photograph and sign across it

## ADDRESS AND CONTACT DETAILS

Preferred Mailing Address

☐ Resident / Correspondence☐ Permanent Address

(If Preferred mailing address not specified, by default the Communication/Corporate benefit shall be sent to Permanent address)

Below mentioned address is my ☐ Correspondence Address ☐ Residence Address **Mandatory: Please attach Self Attested Proof of below address**

Residence / Correspondence Address

Landmark

City / Town / Village  PIN (Mandatory)

State  Yrs at current city  Residence

Country ☐ India ☐ Other

Add. proof submitted

**Contact details**

Country code  STD / Area code  Number  Extn.

Tel. (Off.)

Tel. (Res.)

Fax

Email ID (Mandatory)

Country code  Number

Mobile

☐ Please tick if permanent address is the same as above address

Proof of Permanent address is Mandatory for Demat A/C

Permanent Address

Landmark

City / Town / Village  PIN (Mandatory)

State

Country ☐ India ☐ Other

Add. proof submitted

Mandatory to be filled if different from above

Mandatory for Non-Resident Applicant to specify overseas address

## Declaration

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

## The signatory confirms the following:

Originals Verified and Self Attested Document copies received

In Person Verification (IPV) details:

Client Interviewed By

Name of the staff who has carried out the in-person verification Designation Emp. code Branch code Emp. Signature  Signature of Authorised Signatory 

Seal / Stamp of YES BANK/ YES SECURITIES

Name of the Organisation: 

Signature of the applicant

Place

# DEPOSITORY SERVICES ACCOUNT OPENING FORM

Depository Services Address - YES BANK Tower, IFC 2, 7th Floor, Elphinstone (W), Senapati Bapat Marg, Mumbai - 400 013.  
Reg. Off. Address - YES BANK Ltd., YES Bank Tower, IFC-2, 15th floor, Senapati Bapat Marg, Elphinstone (W),  
Mumbai - 400013, India

**YES BANK**

DP ID - IN303270 DP Name - YES BANK LTD.

## SECTION A: PERSONAL DETAILS

**Client - ID** (To be filled by Participant)

Date:

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

Type of account ☐ Ordinary Resident ☐ Margin ☐ Promoter ☐ Other

**Details of Account holder(s):**

Sole / First Holder

Second Holder

Third Holder

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

Name  PAN

**Other Details (please Specify)**

Account Holder(s)	Sole / First Holder		Second Holder		Third Holder	
<b>Occupation</b> (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist
	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired
	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service	<input type="checkbox"/> Housewife
	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student
	<input type="checkbox"/> Self Employed	<input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> Self Employed	<input type="checkbox"/> X - Not Categorised	<input type="checkbox"/> Self Employed	<input type="checkbox"/> X - Not Categorised
	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify)	<input type="checkbox"/> Professional	<input type="checkbox"/> Others (Please specify)
	Brief details: _____		Brief details: _____		Brief details: _____	
Please tick if applicable	<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Politically Exposed Person (PEP)		<input type="checkbox"/> Politically Exposed Person (PEP)	
	<input type="checkbox"/> Related to a Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a Politically Exposed Person (PEP)		<input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
<b>Gross Annual Income</b> Details Income Range per annum (Please tick any one)	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1 Lac to 5 Lac	<input type="checkbox"/> 5 Lac to 10 Lac	<input type="checkbox"/> Below 1 Lac	<input type="checkbox"/> 1 Lac to 5 Lac	<input type="checkbox"/> 5 Lac to 10 Lac
	<input type="checkbox"/> 10 Lac to 25 Lac	<input type="checkbox"/> More than 25 Lac		<input type="checkbox"/> 10 Lac to 25 Lac	<input type="checkbox"/> More than 25 Lac	<input type="checkbox"/> 10 Lac to 25 Lac

**YES BANK Account details** (for receiving credit of Dividend/ Interest and recover charges pertaining to Demat Account.)

1. Account Type	SA <input type="checkbox"/> CA <input type="checkbox"/>	2. Account Number	<input type="text"/>
3. Branch Address	<input type="text"/>		
4. MICR Code	<input type="text"/>	5. IFSC Code	<input type="text"/>

**Name & Signature of Operative Bank A/C Holder(s)**



1st Holder - Bank A/c

2nd Holder - Bank A/c

3rd Holder - Bank A/c

**Standing Instructions** (Default is "Yes" if not indicated)

I/We authorise you to receive credits automatically into my/our account.

☐ Yes

☐ No

Account to be operated through Power of Attorney (PoA)

☐ Yes

☐ No

**SMS Alert facility:** [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form] (Default is "Yes" if not indicated)

Sole/First Holder ☐ Yes ☐ No

Second Holder ☐ Yes ☐ No

Third Holder ☐ Yes ☐ No

**NetBanking / DP@ NetBanking facility**

I/We require access to my/our above mentioned Demat Account through YES BANK NetBanking

Customer ID  (Customer ID should be provided for the Sole/1st Holder or Karta of the Demat Account)

**Delivery Instruction Slip (DIS) booklet facility:** To be filled by persons seeking to open a Depository account and has opted for online trading facility or who have given Power of Attorney to operate the Depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic services Demat Account. In case Delivery Instruction Slip (DIS) is not opted at the time of account opening, the Client Master List copy will be sent via email only to the registered email ID of the first holder of the Demat Account. (Default is "No" if not indicated)

☐ Yes, I/ we wish to receive DIS Booklet at the time of account opening ☐ No, however, the DIS booklet should be issued to me/us immediately on my/our request at any later date

**Mode of receiving Statement of Account [Tick any one]** Consolidated Account Statement (CAS) will be sent by the Depository

☐ Electronic Form [Read Note 3 and ensure that email ID is provided in KYC Application Form]. ☐ Physical Form

**Mode of Receiving Standard Documents**

I / We wish to receive the Standard Documents through ☐ Electronic Mode ☐ Physical Mode

I/We would Like to receive the Annual Report. ☐ Physical/ ☐ Electronic (Tick the applicable box. If not marked the default option would be in physical)



# DEPOSITORY SERVICES ACCOUNT OPENING FORM

Depository Services Address - YES BANK Tower, IFC 2, 7th Floor, Elphinstone (W), Senapati Bapat Marg, Mumbai - 400 013.  
Reg. Off. Address - YES BANK Ltd., YES Bank Tower, IFC-2, 15th floor, Senapati Bapat Marg, Elphinstone (W),  
Mumbai - 400013, India

DP ID - IN303270 DP Name - YES BANK LTD.

**YES BANK**

**Guardian Details (Required if the Sole 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)]

Guardian Name

Relationship of guardian with minor

PAN

## Nomination Option

☐ I/We wish to make a nomination.

[ Details as provided in Form for Nomination ]

☐ I/We do not wish to make a nomination.

④ \_\_\_\_\_ (Sole/First Account Holder) \_\_\_\_\_ (Second Account Holder) \_\_\_\_\_ (Third Account Holder)

**Declaration** The rules and regulations of Depository and Depository Participants 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 also declare that the particulars given by me/us are true to the best of my/our knowledge as on the date of making such application and I/we undertake to inform you of any changes therein, immediately. I/ We further agree that any false / misleading information given by me or suppression of any material fact will render my account liable for termination and further action. In case of non-resident account, I/ We also declare to have complied and will comply with the FEMA and other exchange control regulations and other applicable law. I/We agree and confirm that I/we have read, understood and accepted the terms and conditions as listed on the Banks website: [URL: www.yesbank.in] amended and modify from time to time, in connection with opening of an account with the Bank. I/We accept and agree to be bound by the said Terms and Conditions. I/We consent to authorised YES Bank Ltd/ and its agents to make necessary references and enquiries with respect to the information required in the application from with the Bank and to share or exchange any information in relation to the application with its agents or other banks/financial institutions or statutory bodies. I/We consent to make available view and/or enquiry rights in relation to the account to all the account to all the holder/s, unless specifically revoked by an express letter. I/we acknowledged the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant" and copy of Demat Schedule of Charges. I/We have also informed hat the standard set of documents has been displayed for Information on YES Bank's designated website, i.e www.yesbank.in I/ We agree, confirm and provide our consent and irrevocably authorize you to disclose, Obtain, share and/ or transfer, all or any information pertaining to me/ us and/ or my/ our accounts and facilities availed by me/ us, with any of your affiliates, group companies, branches, subsidiaries, holding companies; any statutory, judicial, quasi judicial authority and/ or local body; any exchange, market, or other authority or regulatory body having jurisdiction or any person (including any agent, contractor or third party services provider) with whom you may contract or proposes to contract with regard to the provision of services/ facilities in respect of my/ our account(s) or facilities (as the case may be), or in connection with the operation of your business; any person employed with, or engaged as an agent by you or your affiliates, group companies, branches, subsidiaries, holding companies, for the purposes of or in connection with interactions with us or for providing services/ facilities to us or processing transactions pertaining to our accounts or facilities and/ or to enable you to centralize or out source your data processing and other administrative operations to your affiliates, group companies, branches, subsidiaries, holding companies or to third parties engaged by you for any such services/ operations of our accounts.

Details under FATCA/ similar foreign tax laws and treaties (Please refer T&C on www.yesbank.in for further details)

I/we hereby declare that the information provided by me/us is true. In case of any changes. I/we will inform the Bank with in 30 days.

I am citizen / national / tax resident of any country outside India. (If Yes, Please fill in the Annexure separately)

First Applicant ☐ Yes ☐ No Second Applicant ☐ Yes ☐ No Third Applicant ☐ Yes ☐ No

⑤ \_\_\_\_\_ (Sole/First Account Holder) \_\_\_\_\_ (Second Account Holder) \_\_\_\_\_ (Third Account Holder)

**Notes** 1. All communication shall be sent at the address of the Sole/First holder only. 2. Thumb impression and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate. 3. For receiving Statement of Account in electronic form : I. Client must ensure the confidentiality of the password of the email account. II. Client must promptly inform the Participant if the email address has changed. III. Client may opt to Terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice. 4. Strike of whichever is not applicable.

## Common Email / Mobile Declaration

[Please tick (✓) wherever applicable]

	First Holder	Second Holder	Third Holder
Name of Account Holder			
Mobile Number			
Mobile number belongs to (Family denotes Spouse Dependent Children, and Dependent Parents only)	<input type="checkbox"/> Me or <input type="checkbox"/> My family <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Me or <input type="checkbox"/> My family <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Me or <input type="checkbox"/> My family <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent Parents
Email ID			
Email Id belongs to (Family denotes Spouse Dependent Children, and Dependent Parents only)	<input type="checkbox"/> Me or <input type="checkbox"/> My family <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Me or <input type="checkbox"/> My family <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent Parents	<input type="checkbox"/> Me or <input type="checkbox"/> My family <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent children <input type="checkbox"/> Dependent Parents
Signature of account holder			

Do you have a Demat account with us with the same pattern of Holding ☐ Yes ☐ No If Yes, Reason for opening another Demat account \_\_\_\_\_

## Account Option

☐ Regular Demat Account ☐ BSDA Account

1. If not ticked default option will be Regular Demat account.
2. If Regular Demat account option is ticked, your account will not be considered for eligibility of BSDA account
3. If BSDA account option is selected, the SEBI regulations of BSDA will be applicable
4. At any point of time if SEBI guidelines of BSDA are not fulfilled, DP reserves a right to convert the account to Regular Demat account without any prior intimation

# FORM FOR NOMINATION

(To be filled in by individual applying singly or jointly)



## NOMINATION DETAILS

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

Nomination can be made upto three nominees in the account		Details. of 1 <sup>st</sup> Nominee	Details. of 2 <sup>nd</sup> Nominee	Details. of 3 <sup>rd</sup> Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee <input type="checkbox"/> Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)			
4	Address of Nominee(s)  <div>PIN Code</div>			
5	Mobile/Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> YES BANK Savings Account <input type="checkbox"/> Aadhaar (Don't Mention) <input type="checkbox"/> DP ID and Demat Client ID <input type="checkbox"/> Proof of Identity			
Serials Numbers 8-14 should be filled only if nominee(s) is a minor:				
8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)  <div>PIN Code</div>			
11	Mobile/Telephone No. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> YES BANK Savings Account <input type="checkbox"/> Aadhaar (Don't Mention) <input type="checkbox"/> DP ID and Demat Client ID <input type="checkbox"/> Proof of Identity			

Name(s) of holder(s)		Signature(s) of holder
Sole/ First Holder (Mr./Ms.)		X
Second Holder (Mr./Ms.)		X
Third Holder (Mr./Ms.)		X
Signature of Witness for Nomination		
Name of the Witness	Address	Signature of witness
		Date <div><div>D</div><div>D</div><div>M</div><div>M</div><div>Y</div><div>Y</div><div>Y</div><div>Y</div></div>

### Notes

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- The Nominee(s) 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.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the

- beneficiary owner account is held jointly, all joint holders will sign the cancellation form
- On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- Nomination can be made up to three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total up to hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.

# TRADING ACCOUNT RELATED DETAILS

Reg. Off. Address - IFC, Tower II, 6th Floor, Senapati Bapat Marg, Elphinstone (W), Mumbai- 400 013.

(To be filled by applicant only)

**YES SECURITIES**

## NAME OF THE APPLICANT

## BANK AND DEPOSITORY ACCOUNTS DETAILS

Bank Name: YES BANK LTD. Other Bank Name \_\_\_\_\_

Bank A/C No: \_\_\_\_\_ Account Type: ☐ Savings ☐ Current

IFSC Code: \_\_\_\_\_ MICR Number: \_\_\_\_\_

Branch Address: \_\_\_\_\_ Branch Code: \_\_\_\_\_

DP Name: Y E S B A N K L T D. Other \_\_\_\_\_ Cust ID: \_\_\_\_\_

Client ID (BO ID): \_\_\_\_\_ DP ID: I N 3 0 3 2 7 0 Depository Name: N S D L

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

GST Registered ☐ Yes ☐ No GST Number \_\_\_\_\_ GST State \_\_\_\_\_

## TRADING PREFERENCES

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

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

Segment	NSE	BSE	MCX	NCDEX
Cash Market	<input type="checkbox"/>	<input type="checkbox"/>	NA	NA
Future & Options	<input type="checkbox"/>	<input type="checkbox"/>	NA	NA
Currency Derivative	<input type="checkbox"/>	<input type="checkbox"/>	NA	NA
Commodity Future & Options	NA	NA	<input type="checkbox"/>	NA
Primary (IPO / Debt)	<input type="checkbox"/>	<input type="checkbox"/>	NA	NA

# If in future, the client want to trade on any new segment / new exchange, separate authorization / letter would be required. Please specify the proof submitted to avail the privileges to trade in derivatives segment:

## OTHER DETAILS (PLEASE SPECIFY)

\*Gross annual income(₹) (Income range per annum) ☐ Below 1 lac ☐ 1-5 lac ☐ 5-10 lac ☐ 10-15 lac ☐ Above 25 lac  
**OR Net worth (₹)** \_\_\_\_\_ as on date DD MM YYYY Net worth should not be older than one year

Occupation details (please tick any one and give brief details)

☐ Public Sector ☐ Private Sector ☐ Government Service ☐ Business ☐ Professional  
☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Other (please specify) \_\_\_\_\_

Nature of Business/Profession \_\_\_\_\_

If employed please provide employer name \_\_\_\_\_

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

**Any other information** \_\_\_\_\_

**PAST ACTION:** Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/commodity exchange/any other authority against the applicant/constituent or its partners/promoters whole time directors/authorized persons in charge of dealing in securities/commodities during the last 3 years **No** ☐ **If yes, please specify:** \_\_\_\_\_

**DEALINGS THROUGH SUB-BROKERS/ AP AND OTHER STOCK BROKERS** ☐ Not dealing, If yes, please mention details below:

Sub-Broker's/ APName: \_\_\_\_\_ SEBI/ AP Registration Number: \_\_\_\_\_

Registered Office Address: \_\_\_\_\_ Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ Website: \_\_\_\_\_

Whether dealing with any other stock broker/sub-broker/ AP(in case dealing with multiple stock brokers/sub-brokers/AP,provide details of all)

Name of Stock Broker: \_\_\_\_\_ Name of Sub-Broker/ AP; if any: \_\_\_\_\_

Client Code: \_\_\_\_\_ Exchange: \_\_\_\_\_

Details of disputes/dues pending from/to such stock broker/sub-broker/ AP: \_\_\_\_\_

**ADDITIONAL DETAILS:** I/We wish to receive ☐ Electronic Contract Note (ECN) OR ☐ Physical Contract Note (PCN)

Email ID for ECN \_\_\_\_\_

I wish to avail of the facility of internet trading/ wireless technology: ☐ Yes If No, Please Specify: \_\_\_\_\_

I / We wish to receive the standard documents through ☐ Electronic mode ☐ Physical Mode

Number of years of Investment/Trading Experience: ☐ No prior Experience ☐ Y Y Stock ☐ Y Y Derivatives

☐ Y Y Other investment related field Any other information: \_\_\_\_\_

# TRADING ACCOUNT RELATED DETAILS

(To be filled by applicant only)

**YES SECURITIES**

## INTRODUCER DETAILS (Optional)

Name:

Status: ☐ Sub Broker ☐ Remisier ☐ Authorized Person ☐ Existing Clients ☐ Others, Please specify \_\_\_\_\_

Address:

Phone:

X Signature of Introducer

## NOMINATION DETAILS (for individuals only)

I/We wish to nominate ☐ Yes ☐ No Name:

Relationship:  PAN:  DOB:

Address:  Phone:

If Nominee is a minor, name of guardian:

Address of Guardian:

Phone:

Signature of Guardian

## WITNESSES (Only applicable in case the account holder has made nomination)

Name: <input type="text"/>	Name: <input type="text"/>
Address: <input type="text"/>	Address: <input type="text"/>
Date: <input type="text"/> Signature <input type="text"/>	Date: <input type="text"/> Signature <input type="text"/>

## PAYMENT INSTRUCTION FOR CHARGES

Payment Mode	Cheque No. <input type="text"/>	Date <input type="text"/>	Bank Name <input type="text"/>	Plan Name <input type="text"/>
	Direct Debit from YES BANK A/C No. <input type="text"/>	<input type="checkbox"/> None	A/c Opening Charges <input type="text"/>	

## DECLARATION

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

Details under FATCA/ similar foreign tax laws and treaties (Please refer T&C on www.yesinvest.in for further details)

I/we hereby declare that the information provided by me/us is true. In case of any changes, I/we will inform the YES SECURITIES (India) Limited within 30 days.

I am citizen / national / tax resident of any country outside India. (If Yes, Please fill in the Annexure separately)

☐ Yes ☐ No

Place:  Date:

Signature of Client

## FOR OFFICE USE ONLY UCC Code allotted to the Client

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 nonmandatory 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.

Date:

STAMP

Signature of Authorised Signatory

**SECOND HOLDER**

Please fill this form in ENGLISH and in BLOCK LETTERS with BLACK INK Only

(Please tick ☒ the appropriate)

**IDENTITY DETAILS**

Prefix ☐ Mr. ☐ Ms. ☐ Others

Applicant name

☐ Father ☐ Spouse name (Mandatory)

Gender ☐ M ☐ F ☐ T Marital status ☐ Single ☐ Married ☐ Others Date of birth

PAN  (Mandatory for Demat / ISA) City of birth  Country of birth

Aadhaar No.  Evidence / Documents provided in case of PAN exemption

Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National Nationality ☐ Indian ☐ Other, please specify

ID proof submitted ☐ PAN ☐ Other, pls specify  Valid till

Acknowledgement No.

Please affix your recent passport sized photograph and sign across it

**ADDRESS AND CONTACT DETAILS**

Preferred Mailing Address

☐ Resident / Correspondence

☐ Permanent Address

(If Preferred mailing address not specified, by default the Communication/Corporate benefit shall be sent to Permanent address)

Below mentioned address is my ☐ Correspondence Address ☐ Residence Address **Mandatory: Please attach Self Attested Proof of below address**

Residence / Correspondence Address

Landmark

City / Town / Village  PIN (Mandatory)

State  Yrs at current city  Residence

Country ☐ India ☐ Other

Add. proof submitted

**Contact details**

Country code  STD / Area code  Number  Extn.

Tel. (Off.)

Tel. (Res.)

Fax

Email ID (Mandatory)

Country code  Number

Mobile

☐ Please tick if permanent address is the same as above address

**Proof of Permanent address is Mandatory for Demat A/C**

Permanent Address

Landmark

City / Town / Village  PIN (Mandatory)

State

Country ☐ India ☐ Other

Add. proof submitted

Mandatory to be filled if different from above

Mandatory for Non-Resident Applicant to specify overseas address

**Declaration**

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

**The signatory confirms the following:**

Originals Verified and Self Attested Document copies received

In Person Verification (IPV) details:

Client Interviewed By

Name of the staff who has carried out the in-person verification

Designation

Emp. code

Branch code

Emp. Signature  Signature of Authorised Signatory

Seal / Stamp of YES BANK/ YES SECURITIES

Name of the Organisation:

Signature of the applicant

Place



## THIRD HOLDER

Please fill this form in ENGLISH and in BLOCK LETTERS with BLACK INK Only

(Please tick ☒ the appropriate)

## IDENTITY DETAILS

Prefix ☐ Mr. ☐ Ms. ☐ Others

Applicant name

☐ Father ☐ Spouse name (Mandatory)

Gender ☐ M ☐ F ☐ T Marital status ☐ Single ☐ Married ☐ Others Date of birth

PAN  (Mandatory for Demat / ISA) City of birth  Country of birth

Aadhaar No.  Evidence / Documents provided in case of PAN exemption

Status ☐ Resident Individual ☐ Non Resident ☐ Foreign National Nationality ☐ Indian ☐ Other,  please specify

ID proof submitted ☐ PAN ☐ Other, pls specify  Valid till

Acknowledgement No. 

Please affix your recent passport sized photograph and sign across it

## ADDRESS AND CONTACT DETAILS

Preferred Mailing Address

☐ Resident / Correspondence☐ Permanent Address

(If Preferred mailing address not specified, by default the Communication/Corporate benefit shall be sent to Permanent address)

Below mentioned address is my ☐ Correspondence Address ☐ Residence Address **Mandatory: Please attach Self Attested Proof of below address**

Residence / Correspondence Address

Landmark

City / Town / Village  PIN (Mandatory)

State  Yrs at current city  Residence

Country ☐ India ☐ Other

Add. proof submitted

**Contact details**

Country code  STD / Area code  Number  Extn.

Tel. (Off.)

Tel. (Res.)

Fax

Email ID (Mandatory)

Country code  Number

Mobile

☐ Please tick if permanent address is the same as above address

Proof of Permanent address is Mandatory for Demat A/C

Permanent Address

Landmark

City / Town / Village  PIN (Mandatory)

State

Country ☐ India ☐ Other

Add. proof submitted

Mandatory to be filled if different from above

Mandatory for Non-Resident Applicant to specify overseas address

## Declaration

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

## The signatory confirms the following:

Originals Verified and Self Attested Document copies received

In Person Verification (IPV) details:

Client Interviewed By

Name of the staff who has carried out the in-person verification Designation Emp. code Branch code Emp. Signature  Signature of Authorised Signatory 

Seal / Stamp of YES BANK/ YES SECURITIES

Name of the Organisation: 

Signature of the applicant

Place 

FOR OFFICE USE ONLY

Note: KYC form shall be filled for all the holders of the account



**Schedule of Charges – DEMAT ACCOUNT**

Charge	Type	Resident Individual/HUF	Global Indian Banking (Non Resident)	Corporate	Basic Service Demat Account (BSDA)		
A/C opening Charges				Nil		Equity#	Debt^
Annual Maintenance Charges (AMC)*		₹ 500	₹ 1000	₹ 500	NIL AMC if Holding Value is between	0 to 50,000	0 to 1,00,000
					₹100/- AMC if Holding Value between	50,001 to 2 Lac	1,00,001 to 2 Lac
					₹500 AMC if Holding Value More than	2 Lac	2 Lac
Credit Transaction (Buy : Market & Off Market)				Nil			
Debit Transaction	% of transaction value of each ISIN	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	0.06% (Min ₹ 50)		
(Market, Off Market, Inter- depository)	Rejection/Fail	₹ 30	₹ 30	₹ 30	₹ 30		
	Extra charges for processing of Instructions submitted on the execution date	₹ 10 per ISIN	₹ 10 per ISIN	₹ 10 per ISIN	₹ 10 per ISIN		
Dematerialization	Per Request From	₹ 30	₹ 30	₹ 30	₹ 30		
	Per Certificate	₹ 2	₹ 2	₹ 2	₹ 2		
Rematerialisation	Per request form	₹ 20	₹ 20	₹ 20	₹ 20		
Closure of Account				Nil			
Pledge	Creation/Closure/Confirmation/Invocation (% of the value for each ISIN in each request)	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)		
Additional account statements		₹ 20	₹ 20	₹ 20	₹ 20		
NDU	% of transaction value of each ISIN	0.02% (Min Rs. 30/-; Max Rs. 50,000)	0.02% (Min Rs. 30/-; Max Rs. 50,000)	0.02% (Min Rs. 30/-; Max Rs. 50,000)	0.02% (Min Rs. 30/-; Max Rs. 50,000)		

\*AMC discounts applicable to special customer segments like YES Respect (1<sup>st</sup> year waiver), YES Grace (1<sup>st</sup> year waiver), SMART Salary Exclusive (1<sup>st</sup> year 50% waiver), SMART Salary platinum (1<sup>st</sup> year 100% waiver). All charges are waived off for YES First customer (except NSDL charges), YES Premia (1<sup>st</sup> year 100% waiver and 50% waiver from 2<sup>nd</sup> year onwards).

**NSDL charges are chargeable extra at actuals. Present NSDL charges are**

Sell: Market and Off- Market & Inter-depository	₹ 5 per debit instruction
Rematerialisation	a) fee of ₹ 10 for every hundred securities or part there of subject to maximum fee of ₹ 5,00,000; or b) A flat fee of ₹ 10 per certificate, whichever is higher.
Reconversion of MF units into SoA	₹ 10 per instruction
Redemption of units through Participants	₹ 5 per instruction
Pledge Creation	₹ 25 per instruction
NDU	0.01% of the transaction value subject to a minimum of Rs. 25 per transaction

Conditions: i. The value of shares and charges are calculated as per NSDL formula and rates. ii. There will be a charge of ₹ 100 for dishonour of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. The depository services are liable to discontinuation if YES BANK is unable to recover charges from the customer, for any reason whatsoever. iii. Any service that is not indicated above will be charged separately as per the rates applicable from time to time. iv. YES BANK reserves the right to revise the tariff structure from time to time, with a notice of 30 days. The notice may be given by ordinary post or by an advertisement in a national daily. v. Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. If the Demat Account is closed during the year, pro-rata refund of Annual Service Charge will be made. vi. Government levies / Taxes chargeable extra as per applicable rates. vii. Transaction charges will be payable monthly. viii. To evaluate the eligibility of Basic Services Demat Accounts (BSDA) the value of holding will be determined on a daily basis, as per the file sent by the NSDL. The AMC will be calculated at pro rata basis based on the value of holding of securities in the demat account. ix. In case the demat account with BSDA facility does not meet the listed eligibility criteria as per guidelines issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to standard demat account without further reference to respective customers and will be levied standard charges. x. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit instructions. xi. Operating instructions of the joint accounts must be signed by all the holders. xii. All instructions for transfer must be received at the designated DP servicing branches of the YES BANK at least 24 hours before the execution. xiii. YES BANK Demat AMC & Transaction Charges will be levied as per the Client category.

I/We acknowledge the receipt of copy of the document, "Right and Obligations of the Beneficial Owner and Depository Participant" and copy of Demat Schedule of Charges.

**Date:**
**Place:**

**Sole/First Account Holder**
**Second Account Holder**
**Third Account Holder**
**Brokerage Chart**
☐ **YES First**    ☐ **YES Premia**    ☐ **Invest Value Plan\* (IVP)** (\*Applicable for YES Prosperity, YES Grace, YCOP)

Particulars	YES First	YES Premia	Invest Value Plan
Account Opening Fee	Nil	Nil	999
<b>Type</b>	<b>Brokerage</b>	<b>Brokerage</b>	<b>Brokerage</b>
Equity Delivery Buy/Sell %	0.30%	0.40%	0.45%
Equity Delivery Square Off (same Day) %	0.03% (both Sides)	0.04% (both Sides)	0.05% (both Sides)
Equity Margin Intraday (First Leg) %	0.03%	0.04%	0.05%
Equity Margin Square off (same day) %	0.03%	0.04%	0.05%
Equity Future (First Leg) %	0.03%	0.04%	0.05%
Equity Future Square Off (same Day) %	0.02%	0.02%	0.02%
Equity Options (First Leg) (Per Lot)	Rs 75	Rs 75	Rs 75
Equity Options Square off (same day) (per lot)	Rs. 25	Rs. 25	Rs. 25
Currency Futures (First Leg) %	0.03%	0.04%	0.05%
Currency Futures Square Off (same Day) %	0.02%	0.02%	0.02%
Currency Futures (First Leg) (Per Lot)	Rs. 75	Rs. 75	Rs. 75
Currency Futures Square off (Same day) (per lot)	Rs. 25	Rs. 25	Rs. 25
Commodity Futures (First Leg) %	0.03%	0.04%	0.05%
Commodity Futures Square Off (Same Day) %	0.02%	0.02%	0.02%
Commodity Options (First Leg) Per Lot	Rs. 125	Rs. 125	Rs. 125
Commodity Options Square Off (Same Day) Per Lot	Rs. 75	Rs. 75	Rs. 75
Commodity Delivery	0.30%	0.40%	0.50%

**Other Charges**

- Account opening fees as applicable
  - SEBI turnover fees as applicable
  - Exchange Transaction charges as applicable
  - Securities Transaction Tax (STT) / Commodity Transaction Tax (CTT) as applicable
  - GST as applicable
  - Stamp duty : Statewise stamp duty as applicable will be levied.
  - Education cess and higher Education cess as applicable.
  - In addition to the above YSL shall debit the demat charges applicable to the trading member to the client.
  - In case there are any bank charges or any other charges levied by the exchange or any other authority on account of any violation done by the client, the same shall be duly charged.
  - Charges applicable for any other services availed if any.
  - With reference to the regulatory guidelines, please note that all your Expiry Exercise Assignment of Option Derivative contracts will attract Derivatives segment brokerage in line with your existing Brokerage Structure.
- Note: YES Securities Trading Account Opening Charges & Brokerage will be levied as per the Client category.

**Minimum Brokerage Charged:** Brokerage will be charged as per applicable rates subject to a minimum of 25/- per executed order and a maximum of 2.5% of Trade value. In case the minimum brokerage calculated comes to more than 2.5%, then the amount that will be charged as a brokerage will be limited to 2.5%


**Signature of Client**

## POLICIES AND PROCEDURES

YES Securities (India) Ltd., (hereinafter referred to as YSL) as a SEBI registered intermediary is mandated to follow the rules regulations circulars of the exchanges and SEBI issued from time and operates through well defined procedures and policies. The policies followed by a stock broker pertaining to dealing with clients in regards to points specified herein have been mandated by SEBI to be made available to the clients. It should not be construed that these are the only policies followed by YSL.

**(A) Refusal of orders for Penny Stocks:** YSL normally offers trading facility in most of the compulsory dematerialized stocks & commodities which are listed on the stock exchanges. Please note that some of the stocks & commodities such as penny stocks, scrips (stocks & commodities) not traded in compulsorily dematerialized mode or scrips which do not meet internal risk and surveillance criteria are not allowed by YSL for trading. Any existing scrip (stocks & commodities) enabled for trading may be deactivated by YSL as and when such scrips (stocks & commodities) meet the criteria as defined by YSL even if the Client had bought such scrips (stocks & commodities) through YSL thereby restricting the Client's ability to sell such scrips (stocks & commodities). YSL cannot be held responsible for any losses, if any, arising due to deactivation of any of such scrips (stocks & commodities).

Further clarifications: The exchanges release a list of such scrips (stocks & commodities) and they are termed as illiquid securities & commodities, however YSL retains the right to term a particular scrip (stocks & commodities) as illiquid/penny stock based on the internal risk parameters it deems fit. These parameters may include, the past volume of the scrip (stocks & commodities), the volatility in the scrip (stocks & commodities) among others, whether trading in a particular scrip (stocks & commodities) falls within the purview of fraudulent trades or trades deemed to be fraudulent under the SEBI - prohibition of fraudulent and unfair trade practices relating to securities market regulation 2003. YSL reserves the right to facilitate clients for placing orders with regards to the penny stocks or illiquid scrips (stocks & commodities) as described above. YSL is not under any obligation to push orders which are in the nature of penny stocks/ illiquid scrips (stocks & commodities). YSL does not encourage trading in penny stocks.

**(B) Setting Up Client's exposure Limits:** Setting Up Client's exposure Limits and margin information including short fall of margins available on website in the trading account or intimated through approved means to be constituted as a valid margin call.

Exposure is allowed to the clients based on the margin available in form of funds or approved securities or commodities valued after deducting an appropriate haircut as per the rates prescribed by Exchange/YSL. Client is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Exchange. Further YSL at its discretion may collect additional margin or may even reduce the margin even though not required by the Exchange. Clients are supposed to maintain sufficient balance with YSL pre trade depending on the channel through which they trade. YSL may levy additional margins or relax the margins earlier imposed based on factors such as, client level positions, volatility in a particular stock market or commodity market in general. Further, the client will have access to details pertaining to margin requirements, shortfall of margin on a real time basis on the website itself where he can ascertain details of his existing margin blocked, margins required, MTM loss adjustment, margin percentage etc. The margin requirement specified on the website in the trading account of the online client will be construed as a valid demand for the additional margin required by YSL. Disseminating this information in the client account on the website will be considered as informing specific (one to one) clients about the margin requirements/margin top up calls/margin availability before the square off. Clients are bound to monitor and review their open positions and margin requirements all the times and furnish the additional margin to YSL. Though it shall be our endeavor to ensure that a proper notice may be sent to the clients, this may not always be possible taking into consideration the market scenario on a real time basis. Exposure allowed to clients may vary, basis the clients past trading performance, quality of collateral, market circumstances and dynamics and other such factors.

Clients may trade themselves through the internet or may trade through the sub-broker or branch. For clients who trade through the internet, the exposure limit may be ascertained by them on the trading portal. Clients executing trades through sub-broker or branches may check their positions with the sub-broker/ Branch.

YSL shall not be responsible for any variation, reduction or imposition or the Client's inability to route any order through the Stock broker's website on account of any such variation, reduction or imposition of limits. YSL 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 based on certain internal risk parameters.

**(C) Applicable Brokerage:** The brokerage applicable shall be as agreed upon from time to time. Any modifications in relation to the brokerage rate will be prior informed to the client with reasonable time for client to act on the same. The client agrees to pay YSL, brokerage, Exchange related charges, statutory levies and any other charges (including but not limited to security or commodity handling charges on settlement) as are prevailing from time to time and as they apply to the client's account, transactions and to the services that member renders to the client as mutually agreed. YSL does not charge brokerage more than the maximum brokerage permissible as per the rules and regulations and bye laws of the Exchanges/SEBI. However the minimum brokerage as stipulated by the Exchanges will be levied. The brokerage shall be charged as a percentage of the value of the trade or as a flat fee or otherwise, together with the statutory levies as may be applicable from time to time on the same.

Schedule of brokerage along with other applicable charges is specified in Brokerage Chart on page 8. In case the brokerage rate is not selected by the client on the brokerage chart within the KYC booklet, the default brokerage as mentioned below will be applicable.

**(D) Imposition of Penalty / Delayed payment charges, specifying the rate and period:** Delayed payment charges are levied to clients for non payment or delay in payment of their fund obligation on time which may be due on account of charges, margins or any other sum due to YSL. Clients are required to pay margins before placing any trades. Clients are allowed to place margins in form of funds or securities, as per the discretion of YSL.

Exposure is given to the client based on the stocks or commodities submitted by the client towards margin to YSL. Appropriate haircut is applied on such stocks or commodities. They are then expected to make the full payment for the purchase or positions taken in derivatives on the settlement date. In case there is a debit balance in the clients account, the same shall be liable for the delayed payment charges. The calculation of these charges is an automated process. The charges to be levied would be up to 3 % per month. These charges have been introduced so that they act as a deterrent for delaying the payment of funds and it should not be construed as funding arrangement.

In case where any penalty / charges /fees / taxes etc. of whatever nature, is levied on YSL on account of trades or orders placed by clients, such penalty /charges /fees / taxes etc. shall be debited to the client's account. The client will not be entitled to any interest on the credit balance/excess margin available/kept with YSL

**(E) Right to sell or square-off client's securities/commodities or close client's positions, without giving notice to the client on account of non payment of client's dues to the extent of settlement/ margin obligation:** Margin collection - Margin is collected upfront from the clients i.e prior to executing any trades. Based on the margin thus available with YSL - exposure is given to the client. The applicable margin may vary and the client may be asked to replenish the margin by tendering additional funds or securities.

In accordance with Exchange guidelines, YSL being primarily a web based broker retains the right to square off the position. Disseminating of the details regarding margin requirements and short fall in margin through an approved mode shall be considered as making a specific margin call to the client. Hence all clients are bound to log in to their trading account and keep themselves updated about their positions and margin requirements made available on real time basis.

The client agrees to pay for the shares purchased or positions taken in commodity derivatives through YSL before the pay-in date in order to enable YSL to make the requisite pay-in to the Exchange. In case the client fails to make the payment, YSL may liquidate the securities or commodities position in the clients account in order to ensure that adequate credit is received for the shares purchased or positions taken in commodity derivatives. This square off may be done on or before the 5th day of the settlement date.

- The client also agrees to maintain adequate margin for the positions taken in any segment or exchange. However in case the credit available is lower than the minimum margin required, the client's positions would be liquidated in a manner that there is no shortfall of margin.

- YSL shall endeavor to provide additional facility besides making available the margin details on website in the trading account to facilitate the clients towards ensuring adequate margin to avoid liquidation of open position. This information should be constituted as prior information given to the client before liquidation of their positions. YSL may endeavour to inform the client on the registered mobile number and or email id updated with YSL. For clients to whom a login and password is given to access their account on the website [www.yesinvest.in](http://www.yesinvest.in), or such other URL that may be provided and informed by YSL from time to time, where they are required to login and check the limit statement uploaded therein. It shall be the clients' responsibility to ensure that adequate credit balance is available in the account.

The above guidelines may be changed based on the discretion of YSL and in terms of the market conditions. In cases where the market is volatile and there is a sudden spurt in scrip price then YSL may square off position without any notice due to the paucity of time and other such circumstances

- Whenever YSL endeavors that the positions are to be liquidated, it shall not be responsible for any liabilities in case the same cannot be liquidated.

- The priority of the positions to be squared off, i.e. which positions to be squared off first, would be at the discretion of YSL. YSL may follow the following priority for squaring-off positions :-

- a) Lower Margin scrip's (securities or commodities) will be squared off first.
- b) Only futures position will be squared off (option position may be square off manually)
- c) In case where there is a position in cash and derivative segment, options positions would be squared off first followed by futures positions and then cash positions would be square off (for all segment & exchange) in case shortfall still exist.

**( F ) Shortages in obligations arising out of internal netting of trades Internal Shortage Policy:** In case of Internal shortage (Client to Client Shortage), the valuation price shall be higher of 2 % above the closing price on Auction date in the normal market segment of the Exchange or highest traded price between the trading day (transaction date) and the day of Auction. All the securities having a corporate action will be settled on cum basis.

All losses to the Client, on account of the above shall be borne solely by the Client and YSL shall not be responsible for the same. In case of any claim against YSL, the Client shall indemnify YSL in this regard.

Cont....

**(G) Conditions under which a client may not be allowed to take a further position or the broker may close an existing position of a client /Temporary suspending or close a client's account at the client's request and Deregistering a client:**


- a) In the event where overall position in any scrip (securities & commodities) or derivative contract has reached the limit prescribed by regulators or exchanges. For example, in case of NRI clients where the PIS Limits are prescribed by RBI are breached or in case of Exchange wise, scrip wise limit prescribed by Exchanges for derivative contracts are breached. In all such cases the client may not be permitted to take additional positions
- b) YSL has the right to stop or block the client to trade in case where there is a debit balance in his/her account.
- c) YSL retains the right to block the client from taking a position in certain specified scrips (securities & commodities) on the basis of the risk management systems of YSL.
- d) In case where YSL is apprehensive of the client to be an entity debarred by any regulatory authority, it shall retain the right to stop the trading activities of such a client.
- e) In case where YSL perceives risk with regards to any regulatory action or with regards to delay or non payment of margin or any other lawful obligation YSL may temporarily block or suspend the trades of such clients.
- f) In case where suspicious transactions are observed, including but not limited to off market transactions.
- g) In case where clients are not reachable at their contact details mentioned in the client registration form or in the client master changes form.
- h) In case where unprofessional, or unruly behavior of the client is observed.
- i) Further in case of clients breaching the risk parameters mentioned in point E above we may close the clients' positions without any intimation.
- j) Client can initiate suspend/closure of his account by giving 30 days written notice duly acknowledged by YSL
- k) YSL has the sole discretion to dis-continue the relationship. The terms and conditions as specified in the AOF are applicable.
- l) Receipt of a binding order from the regulator/authority.
- m) Any of the covenant or warranty of the client is incorrect or untrue in any material aspects.

In the event of death or insolvency of the client, winding up or liquidation or the client otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, the Stock Broker may close out the transaction of the client and the client or his legal representative as the case shall be would be liable for any losses, costs and be entitled to any surplus which may result there from.

**(H) Inactive Client Accounts:** The Client's trading account will be considered as dormant/inactive if client neither trades in any segment/ Exchange nor registers any other financial transactions like IPO, Bonds, Mutual Fund etc., for a period of 6 Months or such other period as may be decided by YSL at its sole and absolute discretion. Inactive/Dormant clients shall be ascertained at the beginning of every month and those clients who have not traded even a single time or did not execute any financial transaction as mentioned above through YSL in the preceding 6 Months will be considered as dormant/inactive. Funds/Securities/commodities, if any available with YSL will be settled at the end of the quarter in which the trading account is made Inactive.

The client can reactivate his/her trading account by calling the Call centre (after due authentication) or by sending a request email from his/her registered email id or by submitting a physical letter duly signed. YSL shall also have the discretion to reactivate a trading account, after doing adequate due diligence, as YSL may consider fit and proper.

These policies and procedures may be amended/changed from time to time by the stock broker depending on the change in rules, regulation and bye laws of SEBI / Exchange and process of Stock broker, provided the change is informed to the client by email/ post/online acceptance of the revised policies and procedures in the trading account by displaying it on the website or any other approved mode. These policies and procedures shall be compulsorily referred to in case of any dispute/difference/claim made before the appropriate court of law/adjudicating authority including arbitrator/mediator or in case of any settlement arrived between the parties.

  
(18) \_\_\_\_\_  
Signature of Client



## POWER OF ATTORNEY (THIS DOCUMENT IS VOLUNTARY)

This Power of Attorney ("Power of Attorney") is given in favor of YES Securities (India) Limited on the \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_ by

- a) The person(s) specified in the Schedule [A] hereinafter referred to as the "BankAccount Holder(s)"; and  
b) The person(s) specified in the Schedule [B] hereinafter referred to as the "Securities (Demat) Account Holder(s)"

### WHEREAS:

(a) The Client (the person set out in Schedule [C]) has read and understood the SEBI prescribed Rights and Obligations document and is desirous of registering as a Client of YES Securities (India) Limited, a company, incorporated under the provisions of the Companies Act, 1956, being a Member of SEBI Registered Stock Exchanges & Commodity Exchanges (SEBI Regn No. - INZ000185632), having its registered office at Unit no. 602 A, 6th floor, Tower 1 & 2, Indiabulls Finance Centre, Senapati Bapat Marg, Elphinstone Road, Mumbai-400013 and one of its processing office at Part Gr. & 1st Floor, T. S. No. 60 & 61, Block No. 10, Door No. 24, Ambalathadayar Madam Street, Puducherry (Pondicherry)- 605 001 (hereinafter called the "Stock Broker"/ "YSL") for dealing in Securities, Commodity Derivatives and other services as may be availed by the Client from time to time. "Securities" shall have the same meaning as assigned to it under the Securities Contracts (Regulation) Act, 1956, as amended from time to time. (b) The Bank Account Holder(s) hold bank account/s with the bank more particularly detailed in Schedule [A] herein below (the "Bank"), and bearing bank account number/s as mentioned therein under title "Bank Account Details" (hereinafter referred to as the "Bank Account") (c) The Securities (Demat) Account Holder(s) hold securities account/s with YES BANK Limited, a depository participant (DP) registered with SEBI (the "DP") details whereof are mentioned in the Schedule [B] hereunder under title "Securities (Demat) Account Details" (hereinafter referred to as the "Securities Account") (d) The Bank Account Holder(s) and the Securities (Demat) Account Holder(s) are collectively referred to as the "Account Holder(s)" and/or "I/We"; e) To facilitate proper execution and seamless experience of all the transactions including transactions in Commodity Derivatives executed by Client in its trading account with Stock Broker and for availing various services and to give effect to all the terms and conditions specified in the Account opening form, I/We am/are desirous of appointing the Stock Broker as my/our attorney and confer upon it the powers herein stated.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT I/We, the Account Holder(s) do hereby jointly and severally authorize/nominate/appoint the Stock Broker for the purpose hereof, acting through any of its officers or employees or any sub-agents, to be my/our true and lawful agent and attorney for me/us and on my/our behalf (the "Attorney") and in my /our name and on my/our behalf at my/our risks and costs from time to time to do and exercise or cause to be done and exercised all or any of the following acts, powers and authorities as required to facilitate the transactions including transactions in Commodity Derivatives executed/ to be executed in my/our trading account with YSL including fulfillment of all my/our obligations, any losses or liabilities created towards Stock Broker:

1. To operate and debit the Securities Account in my/our name for facilitating transactions in Securities and Commodity Derivatives through the Stock Broker to meet all margin / settlement obligations due from me/us to the Stock Broker in terms of the SEBI prescribed Rights and Obligations for transactions executed between me/us and the Stock Broker, and in relation to any of the products/facilities/services offered by the Stock Broker and to do the following for the above purposes including:-

(a) to transfer Securities from the Securities Account for the purpose of delivering the same in respect of Securities sold by me/us or to the pool account of the Stock Broker to effect delivery of the Securities, or for margin purposes, to meet margin obligations for transactions done on any of the Exchange(s) including commodity derivatives transactions for me/us; (b) to block and/or hold, all or any, of the Securities lying in the Securities Account including in Stock Broker's/DP's internal systems, without any further instructions (this writing constituting my/our instructions to do so), to transfer all the said Securities to the securities account(s) of the Stock Broker in accordance with the instructions of the Stock Broker for the above purpose; (c) subject to permitted laws, to create/mark a lien, charge or pledge on all or any of the Securities lying in the Securities Account including in DP's internal systems, belonging to me/us or in such other manner as the Stock Broker may determine, without any further instructions (this writing constituting my/our instructions to do so) or to transfer all the said Securities to the securities account(s) of the Stock Broker in accordance with the instructions of the Stock Broker for the purpose of meeting my/our margin requirements / settlement obligations in connection with the trades executed by me/us through the Stock Broker, or any obligation arising out of availing of any services including transactions in Commodity Derivatives through the Stock Broker.; (d) to sign, deliver, endorse and/or acknowledge all instructions, forms, transfer deeds, depository forms and instruments, slips, receipts and other instruments and writings which are required, necessary or advisable for performing all or any of the powers or authorities hereby conferred; and (e) to submit information to any government, regulatory or statutory authorities and complete, sign and submit any applications or documents for any approvals or for any other reason whatsoever that may be necessary or desirable to perform any of the acts listed in this Power of Attorney.

2. To operate the Bank Account in my/our name, for facilitating transactions in Securities and commodity derivatives by the Stock Broker as a stock broker, for meeting my/ our settlement obligations/ margin requirements and for recovering any outstanding amounts due from me/ us to the Stock Broker arising out of my/ our trading activities including transactions in Commodity Derivatives on the stock exchanges, towards any monies/ fees/ charges outstanding or payable by virtue of me /us using/ availing/ subscribing to any of the products/facilities/services including transactions in Commodity Derivatives offered by the Stock Broker and including to do the following for the above purpose-

(a) To block and/or hold and/or create lien on all or any of the monies lying in the Bank Account including in the internal systems of the Bank, where such Bank Account has been opened belonging to me/ us, or in such other approved manner as the Stock Broker may deem fit, without any further instructions (this writing constituting my/our instructions to do so) and/or to transfer all the said monies to the Bank Account of the Stock Broker or in accordance with the instructions of the Stock Broker;

(b) To draw, endorse and sign cheques/ demand drafts, withdraw, transfer or deposit monies and issue necessary instructions, including electronic instructions or otherwise operate my/our Bank Account standing in my/our sole name or in the joint names of myself/ourselves in such manner as the Stock Broker may deem fit.

3. To apply for various products like mutual funds, public issues (shares as well as debt instruments), rights, offer of shares, tendering shares in open offers or the like pursuant to my/our instructions including applying for redemptions and for meeting the obligations arising out of such products like mutual funds, public issues, rights, offer of shares, tendering shares in open offers or the like.

(Third Account Holder)

(Second Account Holder)

(Sole/First Account Holder)

(20)

19

(Sole/First Account Holder)

(Second Account Holder)

(Third Account Holder)

4. To have the first and paramount lien on the Bank Account and Securities Account of the Account Holder(s) and to exercise such lien in the event of any loss suffered/cost incurred on account of any/all transactions including transactions in commodity derivatives done/executed by me/us/on my/our instructions or as per the terms and conditions of the products/services availed of by me/us.

5. Transfer funds from the Bank Account towards monies/fees/charges etc. due to the DP/ Principal payable by virtue of, I/We using/subscribing to any of the facilities/services including transactions in commodity derivatives availed by me/us at my/our instance.

6. AND GENERALLY to do, perform and execute all such other acts, deeds, instruments, matters and things on my/our behalf as the said Attorney may think fit in accordance with this Power of Attorney as fully and effectually and to all intents and purposes as I/we myself/ourselves could do if I/we were personally present AND for the further, better and more effectually doing, effecting, executing and performing the several matters and things aforesaid AND I/we hereby ratify and confirm and agree and undertake to ratify and confirm whatsoever the said Attorney shall lawfully do or cause to be done by virtue of these presents.

The Attorney and/ or the DP is authorized to send to me/ us a consolidated summary of scrip wise buy and sell positions taken by me/us with average rates by way of short messaging service or e-mails on a daily basis. The Bank and the DP accordingly is authorized and has consented to follow the instructions of my/our said Attorney with respect to the powers set forth with respect to my/our Bank Account and Securities Account respectively and I/we hereby ratify and confirm any and all transactions including transactions in commodity derivatives, or dealings effected in and for my/our above mentioned accounts by my/our Attorney in accordance with this Power of Attorney. Instructions given by the Attorney to the Bank and/or DP to block funds and/or securities and/or to debit or transfer from a Bank Account and/or Securities Account respectively in connection with a transaction (including commodity derivatives) entered into or to be entered into by me/us with or through the Attorney shall be given first priority over any prior or subsequent instructions or cheques given or issued by me/us or my/our authorized representative. The funds or securities once blocked on my/ our instructions or on the instructions of the Attorney in connection with a transaction (including commodity derivatives) entered into or to be entered into by me/ us with or through the Attorney shall be released only with the express written consent of the Attorney to the concerned Bank or the DP. The Attorney has the power to add and/or delete names of authorized employees. The Attorney may appoint and remove at its discretion any authorized signatories for or under the Attorney in respect of all or any of the matters contained herein upon such terms and conditions as the Attorney may think fit. The Stock Broker shall return to me/ us the Securities or funds that may have been received by it erroneously or that it was not entitled to receive and vice versa. To induce any depository, stock exchanges, clearing corporation/house, mutual funds, body corporate, banks, approved intermediaries and registrars and share transfer agents (hereinafter collectively referred to as "Transfer Agent") to act, I/we hereby agree that any Transfer Agent receiving a certified true copy of this Power of Attorney may act upon it, and that revocation or termination hereof shall be ineffective as to such Transfer Agent unless and until actual notice or knowledge of such revocation or termination shall have been received by such Transfer Agent.

I/We hereby confirm and agree that this Power of Attorney and authorization shall not be affected by lapse of time. Power of Attorney may be revoked at any time by giving a notice in writing. However, it shall continue in full force and effect until the Attorney receives a written intimation of such revocation and the said request shall bear an acknowledgment of receipt from the Stock Broker, or in the event of the termination thereof by my/our death until the Attorney shall have received actual written intimation bearing acknowledgement stamp by Stock Broker thereof and such revocation or termination shall in no way affect the validity of this Power of Attorney, with reference to any transaction initiated by me/us or my/our Attorney pursuant to this Power of Attorney, prior to the actual receipt by the Attorney of intimation of such revocation or termination, as above provided. Further I/we agree and confirm that the Power of Attorney will be revoked/cancelled immediately upon fulfillment of my/our obligations pertaining to unsettled transactions and outstanding lawful dues payable to Stock broker/Bank/DP or to any of their affiliates/ subsidiaries as per the terms and conditions of the services (including commodity derivatives) and facilities availed by me/us. I/We have read carefully the provisions of this Power of Attorney and understand that it authorizes my/our Attorney, to exercise all rights and powers set forth with respect to my/our Bank Account and Securities Account. I/We understand that anything my/our Attorney may do in the exercise of such rights and powers shall be fully binding upon me/us. I/We specifically agree that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws. In respect of disputes arising out of transactions (including commodity derivatives) or matters governed by the relevant stock exchange(s), the same shall be subject to the regional arbitration centers of the relevant stock exchange(s) and in all other cases, any disputes shall be subject to the jurisdiction of the courts at Mumbai in India.


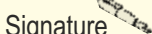
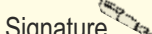
This Power of Attorney does not intend to give any exclusive rights to Stock Broker on the Bank Account and /or the Securities Account. Stock Broker as my/our constituted Attorney may seek from the DP/Bank information regarding my/our funds/Securities balances for the transactions (Including commodity derivatives) effected /to be effected by me/us or on behalf of me/us through the Stock Broker and the Stock Broker may also provide transaction (including commodity derivatives) information to DP/Bank, from time to time, in order to complete settlement of transactions (including commodity derivatives).

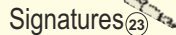
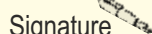
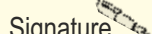
#### INSTRUCTIONS TO THE DP-

1. The Joint Account Holder(s) authorize the DP to honor all instructions received from the Stock Broker pursuant to this power of attorney. In case of death, disability, winding up or liquidation of any Joint Account Holder, the surviving Joint Account Holder/s and/or the heirs, nominees, executors, administrators, liquidator, successors and legal representatives of the Joint Account Holder who has died or been disabled, dissolved, wound up or liquidated shall forthwith inform the Stock Broker of the same in writing. This power of attorney shall not be revoked as regards such Joint Account Holder on account thereof for all pending obligations and dues of the Client towards the Stock Broker until the same have been fulfilled to the satisfaction of the Stock Broker and shall continue to subsist and bind (and shall be deemed to have been given by) the heirs, executors, administrators, liquidator, successors or legal representatives of such Joint Account Holder, and the Stock Broker in the capacity of a broker shall be entitled to continue to act on the basis hereof. In the event of any change in the number, nature of securities and or the ISIN number of the securities/commodities (during any period in which any securities/commodities are blocked /pledged pursuant to the aforesaid power of attorney) as a consequence of any corporate action of the concerned company implemented by the Depository, the Stock Broker, as an attorney shall be entitled to accordingly modify the block/pledge created to accommodate the changes in the ISIN number, the number/ nature/ quantity of securities/commodities maintaining the block/pledge at the same percentage of the share capital of the company as originally blocked.

I/ We further agree that any transfer of funds and Securities/commodities as mentioned above, shall be made to accounts as listed in Annexure A to this Power of Attorney, and further that any changes made to the list as mentioned in Annexure A shall be intimated to me/ us through any approved mode of communication as mentioned in the Terms and Conditions agreed upon with the Stock Broker.



<b>Schedule A - Bank A/c Details</b>	
Bank Name: YES BANK Ltd. Account Type: <input type="checkbox"/> SA <input type="checkbox"/> CA	
Bank A/c No:	
Branch:	Constitution:
First Holder Full Name:	
	
Address:	
Second Holder Full Name:	
	
Constitution:	
Address:	
Third Holder Full Name:	
	
Constitution:	
Address:	

<b>Schedule B - Securities (Demat) Account Details</b>	
DP ID: IN303270	Name of DP: YES BANK Ltd.
Client ID:	Constitution:
First Holder Full Name:	
	
Address:	
Second Holder Full Name:	
	
Constitution:	
Address:	
Third Holder Full Name:	
	
Constitution:	
Address:	

<b>Schedule C - Clients Details</b>		
Name of the Client:	Client Code:	
Address:		
Witness 1	Name & Address:	Signature:
Witness 2	Name & Address:	Signature:

**Annexure A - List of YES Securities (India) Ltd., Bank and Demat accounts where Funds & Securities can be moved**

Bank Name	YES BANK Limited	
Account No	041983000000028,041983000000030, 041987400000013,041987400000032, 041987400000020,0419830000000343 041983100000020	
Name of Depository Participant	YES BANK Limited	
Depository	DP ID	Client ID
NSDL	IN303270	10055450,10055468, 10055601,10055610, 10868681,10868673

Bank Name	AXIS BANK Limited	
Account No	913020043300663,913020043260510, 913020043307758,913020043298447, 913020043338846,913020043310181	
Name of Depository Participant	IL&FS Securities Services Limited	
Depository	DP ID	Client ID
CDSL	16014800	1601480000492810, 1601480000494140, 1601480000492922, 16014800 00744066

To,  
Yes Securities (India) Limited  
Mumbai

Dear Sir/Madam,

(I) **Authorization to maintain account on running account basis** ☐ Yes ☐ No

(24) \_\_\_\_\_  
Signature of Client

I/We confirm that I/We am/are desirous of regularly dealing with all the exchanges (as applicable) of which Yes Securities (India) Ltd. is a member of under its SEBI Regn. No. - INZ000185632 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 hereby give you the following operational instructions in respect of my/our captioned account maintained with you.

I/ We request you to settle my account on a ☐ Quarterly basis ☐ Monthly basis

To maintain my captioned account, with you on a running account basis, i.e. instead of paying to me/us any amounts representing payouts, settlement dues, marked to market profits on the settlement date, to retain, withhold, set-off and / or appropriate for such purposes and in such manner as you may deem fit, including towards settling outstanding obligations on a settlement date. This will facilitate me in my/our transactions with you.

You may at your discretion and with or without notice to me/us, set-off any:

Money due to me arising from trades executed (including transactions in Commodity Derivatives) on a segment of an exchange with the shortfall or additional requirements of margin or securities or money arising from other trades executed (including transactions in Commodity Derivatives) whether on the same or any other segment of the same exchange / or other exchange. At the time of settlement of accounts once in a month/quarter as opted by me herein below, I/We authorize you to retain such amount of funds as you may deem requisite to meet F&O margin obligations for a period of up to 5 (Five) trading days following such settlement. However such amount of additional margin apart from margin liability as on date of settlement, will not be more than the limits prescribed by SEBI or respective exchanges from time to time. In the cash market segment(s), for next day's business, you may retain funds/securities/margins to the extent of value of transactions executed on the day of such settlement in the Cash market(s) only. Further, you are also authorized to retain an additional amount for administrative /operational expense up to a limit of Rs 10,000/- (net amount across segment and across stock exchanges) Upon settlement of my account, you will furnish to me/us by email a statement of accounts containing extract from the client ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds.

I/ We understand and agree that you will transfer/release the funds/securities lying to my/our credit within 1 (one) working day of a request by me/us if the same are lying with you and within 3 (three) working days from the request if the same are lying with the Clearing Member/Clearing Corporation, subject to me/us providing you with a written request for such transfer and subject to no outstanding dues on my/our part in relation to any of my/our obligations under the broking relationship. With respect to requirements of the Exchanges to maintain accounts for each exchange/ segment separately I/ we authorise you to allocate the payments received / made to any of the exchanges / segments. I/We further authorise you to pass such entries to adjust my/our debit/ credit balance in my/our trading account of any exchange / segment to any other and vice versa backed by actual fund transfers, if separate bank account is maintained Exchange / Segment wise.

I/We understand and agree that no interest will be payable to me/us on the deposits or amounts lying to my/our credit with you.

I/We also understand that you shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such funds under this running account Authorizations. This authorization may be revoked by me/ us at any time by giving you written intimation.

(II) **Authorization to obtain transaction details -** ☐ Yes ☐ No

(25) \_\_\_\_\_  
Signature of Client

I/We agree, confirm and provide our consent and irrevocably authorize you to disclose, Obtain, share and/or transfer, all or any information pertaining to me/us and/or my/our accounts and facilities availed by me/us, with any of your affiliates, group companies, branches, subsidiaries, holding companies; any statutory, judicial, quasi judicial authority and/or local body; any exchange, market, or other authority or regulatory body having jurisdiction or any person (including any agent, contractor or third party service provider) with whom you may contract or proposes to contract with regard to the provision of services/facilities in respect of my/our account(s) or facilities (as the case may be), or in connection with the operation of your business; any person employed with, or engaged as an agent by you or your affiliates, group companies, branches, subsidiaries, holding companies, for the purposes of or in connection with interactions with us or for providing services/facilities to us or processing transactions pertaining to our accounts or facilities and/or to enable you to centralize or outsource your data processing and other administrative operations to your affiliates, group companies, branches, subsidiaries, holding companies or to third parties engaged by you for any such services/operations of our accounts

(III) **Authorization to deposit collateral with the Exchange/ Clearing Corporation 1 Clearing House towards margin** ☐ Yes ☐ No

(26) \_\_\_\_\_  
Signature of Client

With reference to my/ our trading account with YES Securities (India) Limited (YSL), I/ we shall be keeping collaterals with YSL from time to time either in one or all the following forms towards my/ our margin requirements and other obligations for the transactions executed/ to be executed through YSL on all the exchanges (as applicable) of which Yes Securities (India) Ltd. is a member of under its SEBI Regn. No. - INZ000185632 (hereinafter collectively referred to as "Exchange"). Cash, Fixed deposits, Securities, Bank guarantees, commodities, Other forms as specified from time to time

I/ We understand that as a Broker, YSL is required to deposit collateral with the respective Exchanges/ Clearing Corporation/ Clearing House towards margin requirements for the trades done.

I/ We hereby authorize YSL to deposit the collateral deposited by me/us with YSL from time to time with the respective Exchanges/ Clearing Corporation/ Clearing House for meeting the margin requirements and other obligations in my/our account.

**(IV) Consent to receive Transactional, Service, Commercial calls and/or SMS** ☐ Yes ☐ No

(27) \_\_\_\_\_  
Signature of Client

I, in my capacity of a subscriber to the services and products offered by you, hereby instruct you to provide to me the following communications through the medium of short messages service and / or telephone calls on my phone number(s) registered with you: Research and investment ideas whether developed by your in-house research team and / or outsourced agencies, Market related alerts, Offers for subscription to new products / services from time to time, Account and trading related information and other notifications pursuant to the services provided, Information relating to investment products and services, Any other service to aid in wealth creation process.

I state that although I have registered myself with the National Do Not Call Registry set up pursuant to the Telecom Unsolicited Commercial Communications Regulations, 2007 / the National Customer Preference Register established under the Telecom Commercial Communications Customer Preference Regulations, 2010, I hereby instruct you to send to me, and consent to receive, communications through short messaging services and / or telephone calls for the services listed out in the preceding paragraph. I undertake that I shall not raise any complaint or dispute before the Telecom Regulatory Authority of India or / any telecom service providers / access providers or other authorities or service providers in relation to any communications received pursuant to this letter nor shall I hold you liable for making such communications. I further undertake to indemnify you against any loss that may be caused to you by virtue of my registration under the National Do Not Call Registry/ National Customer Preference Register.

I hereby confirm that I have opted to receive the communications listed in the preceding paragraph

**(V) Receiving electronic contract notes and statements through email -** ☐ Yes ☐ No

(28) \_\_\_\_\_  
Signature of Client

I/ We understand that I /we have the option to receive the contract notes, bills, statement of funds and securities, commodities and other relevant documents in either physical or electronic form. In pursuance to same I/we hereby opt for receipt of contract notes and other relevant documents in electronic form. We hereby authorize YSL to send us all important communication, including without limitation, contract notes, notices, circulars, account statements, confirmations and others such communication through email. The said emails are to be sent to the email address as mentioned in the KYC form.

The process of receiving contract notes and other communications through email will be considered as due discharge of obligation by you as per the rule, regulations and bye laws of SEBI and stock exchanges. I /We hereby confirm that the said email address has been created by me / us and I / we take the responsibility of regularly accessing and taking cognizance of all the important notification and communication sent to the said email address.

I/We hereby undertake that any change in the email address will be communicated to YSL through a written request (the letter to bear the acknowledgment stamp of YSL) or by logging into my trading account using Login ID and Password.

I / We hereby confirm that non receipt of bounced mail intimation by YSL shall mean that such communication has been delivered to me / us. We agree not to hold YSL responsible for late/non-receipt of contract notes, bills, margin calls, ledger, and other documents sent in electronic form and any other communications for any reason beyond YSL's control including but not limited to failure of email servers, loss of connectivity, email in transit etc. We agree that the Log reports of your dispatching software shall be evidence of proof of dispatch/delivery of contract notes and all relevant documents.

**(VI) Receipt of instructions in electronic / telephone mode:** ☐ Yes ☐ No

(29) \_\_\_\_\_  
Signature of Client

I / We hereby acknowledge that we may send communications through, without limitation, email / fax / telephone / other electronic modes (hereinafter referred to as other alternate modes of communication). I/We understand that Internet / telephone/fax are not encrypted and are not a secure means of transmission. I / We acknowledge and accept that such an unsecured transmission method involves the risks of possible unauthorized alteration of data and / or unauthorized usage thereof for whatever purposes. I / We agree to exempt you from any and all responsibility of such misuse and receipt of information, and hold you harmless for any costs or losses, I / we may incur due to any errors, delays or problems in transmission or otherwise caused by using the internet / telephone / fax / as a means of transmission. Further, I / we hereby undertake to indemnify you for all losses, damages, costs, expenses (including reasonable legal expenses), incurred or suffered by you and against, any actions, suits, claims or proceedings that are or may be initiated against you by your agreeing to accept any reports, information or communication or arising from your acting or relying on such reports, information or communication received from me / us by such alternative modes of communication.

**(VII) Mutual Fund Service System (MFSS) I BSE StAR Mutual Fund (collectively referred to as Mutual Fund Transaction Facilities)** ☐ Yes ☐ No

(30) \_\_\_\_\_  
Signature of Client

I / We, am / are in the process of registering as your client and in the process of executing the required documents for the purpose of trading in the Capital Market / F&O / Currency Derivatives Derivatives on all the exchanges (as applicable) of which Yes Securities (India) Ltd. is a member of under its SEBI Regn. No. - INZ000185632 (hereinafter jointly referred to as "Exchanges").

I /We, am / are interested in availing the Mutual Fund Transaction Facilities of the Exchanges for the purpose of transacting/dealing in the units of mutual funds schemes permitted to be dealt with on the MFSS and BSE StAR MF of NSE and BSE respectively. For the purpose of availing these facilities, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual Fund transaction facilities and I/we further confirm that the details contained therein are same and remain unchanged as on date.

I / We, am / are willing to abide by the terms and conditions as mentioned in the NSE circular dated November 24, 2009, BSE Circular dated December 02, 2009 and further terms and conditions as may be specified by the Exchanges from time to time in this regard.

I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India (SEBI) and Association of Mutual Funds of India (AMFI).


I/We shall read and understand the contents of the scheme information document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/we choose to subscribe/ redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the Mutual fund transaction facilities (MFSS and BSE StAR MF). I /we hereby confirm the above authorizations provided to YES Securities (India) Limited



**Client's Acknowledgement and Declaration**

- 1. I/We shall not effect any third party transactions.
- 2. I/We am/are not a Trading Member/Sub-Broker/Authorized Person affiliated to the main broker of any of the Exchange.
- 3. I/We shall do all the trades as my/our own trades as your client and I/We will not do trades through you acting on behalf of my/our clients/as Sub-Broker/Authorized Person or in any other manner.
- 4. I/We am/are not an employee of another Trading Member of any Exchange. In the event of change in my position, I shall be responsible to obtain the No Objection Certificate from my employer and provide the same to the Stock Broker.
- 5. I/We am/are not expelled/suspended member/broker of any recognized Stock Exchange.



Signature of Client

Client Code: \_\_\_\_\_

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## RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI AND DEPOSITORIES

### General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/ activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

### Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

### Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions/notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

### Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

### Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/ or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/ or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/ or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/ Operating Instructions/ Business Rules of the Depositories.

### Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

### Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/ depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

### Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

### Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5 & 6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

### Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
  1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
  2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

### Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

### Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.  
Authorized representative
25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations there to shall be forthwith communicated to the Participant.

### Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/ notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/ notices issued there under by the depository and/ or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/ Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in laws and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

## Schedule of Charges – DEMAT ACCOUNT

Charge	Type	Resident Individual/HUF	Global Indian Banking (Non Resident)	Corporate	Basic Service Demat Account (BSDA)	
A/C opening Charges				Nil	Equity#	Debt^
Annual Maintenance Charges (AMC)*		₹ 500	₹ 1000	₹ 500	NIL AMC if Holding Value is between	0 to 50,000
					₹100/- AMC if Holding Value between	50,001 to 2 Lac
					₹500 AMC if Holding Value More than	2 Lac
Credit Transaction (Buy : Market & Off Market)				Nil		
Debit Transaction	% of transaction value of each ISIN	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	0.06% (Min ₹ 50)	
(Market, Off Market, Inter- depository)	Rejection/Fail	₹ 30	₹ 30	₹ 30	₹ 30	
	Extra charges for processing of Instructions submitted on the execution date	₹ 10 per ISIN	₹ 10 per ISIN	₹ 10 per ISIN	₹ 10 per ISIN	
Dematerialization	Per Request From	₹ 30	₹ 30	₹ 30	₹ 30	
	Per Certificate	₹ 2	₹ 2	₹ 2	₹ 2	
Rematerialisation	Per request form	₹ 20	₹ 20	₹ 20	₹ 20	
Closure of Account				Nil		
Pledge	Creation/Closure/Confirmation/Invocation (% of the value for each ISIN in each request)	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)	
Additional account statements		₹ 20	₹ 20	₹ 20	₹ 20	
NDU	% of transaction value of each ISIN	0.02% (Min Rs. 30/-; Max Rs. 50,000)	0.02% (Min Rs. 30/-; Max Rs. 50,000)	0.02% (Min Rs. 30/-; Max Rs. 50,000)	0.02% (Min Rs. 30/-; Max Rs. 50,000)	

\*AMC discounts applicable to special customer segments like YES Respect (1<sup>st</sup> year waiver), YES Grace (1<sup>st</sup> year waiver), SMART Salary Exclusive (1<sup>st</sup> year 50% waiver), SMART Salary platinum (1<sup>st</sup> year 100% waiver). All charges are waived off for YES First customer (except NSDL charges), YES Premia (1<sup>st</sup> year 100% waiver and 50% waiver from 2<sup>nd</sup> year onwards).

### NSDL charges are chargeable extra at actuals. Present NSDL charges are

Sell: Market and Off- Market & Inter-depository	₹ 5 per debit instruction
Rematerialisation	a) fee of ₹ 10 for every hundred securities or part there of subject to maximum fee of ₹ 5,00,000; or b) A flat fee of ₹ 10 per certificate, whichever is higher.
Reconversion of MF units into SoA	₹ 10 per instruction
Redemption of units through Participants	₹ 5 per instruction
Pledge Creation	₹ 25 per instruction
NDU	0.01% of the transaction value subject to a minimum of Rs. 25 per transaction

Conditions: i. The value of shares and charges are calculated as per NSDL formula and rates. ii. There will be a charge of ₹ 100 for dishonour of any cheque or unsuccessful attempt to recover payment through direct debit or ECS. The depository services are liable to discontinuation if YES BANK is unable to recover charges from the customer, for any reason whatsoever. iii. Any service that is not indicated above will be charged separately as per the rates applicable from time to time. iv. YES BANK reserves the right to revise the tariff structure from time to time, with a notice of 30 days. The notice may be given by ordinary post or by an advertisement in a national daily. v. Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. If the Demat Account is closed during the year, pro-rata refund of Annual Service Charge will be made. vi. Government levies / Taxes chargeable extra as per applicable rates. vii. Transaction charges will be payable monthly. viii. To evaluate the eligibility of Basic Services Demat Accounts (BSDA) the value of holding will be determined on a daily basis, as per the file sent by the NSDL. The AMC will be calculated at pro rata basis based on the value of holding of securities in the demat account. ix. In case the demat account with BSDA facility does not meet the listed eligibility criteria as per guidelines issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to standard demat account without further reference to respective customers and will be levied standard charges. x. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit instructions. xi. Operating instructions of the joint accounts must be signed by all the holders. xii. All instructions for transfer must be received at the designated DP servicing branches of the YES BANK at least 24 hours before the execution. xiii. YES BANK Demat AMC & Transaction Charges will be levied as per the Client category.

I/We acknowledge the receipt of copy of the document , "Right and Obligations of the Beneficial Owner and Depository Participant" and copy of Demat Schedule of Charges.

### Acknowledgement

Depository Services Address - YES BANK Tower, IFC 2, 7th Floor, Elphinstone (W), Senapati Bapat Marg, Mumbai - 400 013.  
Reg. Off. Address - YES BANK Ltd., YES Bank Tower, IFC-2, 15th Floor, Senapati Bapat Marg, Elphinstone (W), Mumbai - 400013.  
DP ID - IN303270 DP Name - YES BANK LTD.

Received the application from Mr/Ms \_\_\_\_\_ as the sole/first holder alongwith \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date:

Participant Stamp & Signature



# KNOW YOUR CLIENT (KYC) FORM For Individuals

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS

- Self attested copy of PAN card is mandatory for all clients.
- 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.
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given
- In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted
- For opening a minor's account with Depository Participant or Mutual Fund, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
- Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

### C. Proof of Address (POA): List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

- Passport/Voters Identity Card/Ration Card/ Registered Lease or Sale Agreement of Residence/Driving License/ Flat Maintenance bill/Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
- Bank Account Statement/Passbook- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- 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.
- 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.

- 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.
- The proof of address in the name of the spouse maybe accepted.

### D. Exemptions/clarifications to PAN

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

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs 50,000/- p.a.
- 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 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:

- 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).
- 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.

## INSTRUCTIONS / CHECK LIST

- Additional documents in case of trading in derivatives segments - illustrative list:

Copy of ITR Acknowledgment	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.

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- For individuals:
  - 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.
  - 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.
- For non-individuals:
  - Form need to be initialized by all the authorized signatories.
  - Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signature.

## Important:

- Sign in the provided for "Signature of Authorised Signatory" within the box "For Office USE Only" on the KYC Form and
- Affix the IPV stamp along-with the signature on the relevant supporting documents pertaining to Proof of Identity & Proof of Address.
- Separate Accounting Opening Form shall be used for opening trading account of NRI, HUF, Partnership Firm and Unregistered Trust.

For office use only	<input type="checkbox"/> New	<input type="checkbox"/> Update	Customer Id*	<input type="text"/>	Application Date :	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Do you have KYC Number:	<input type="checkbox"/> NO	<input type="checkbox"/> YES, Please mention KYC Number	<input type="text"/>												
Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Small	<input type="checkbox"/> Simplified	Account number	<input type="text"/>										
DP ID IN303270	Client ID	<input type="text"/>			Trading A/c No.	<input type="text"/>									

## Personal Details\*

	Prefix	First Name	Middle Name	Last Name	(Please leave one space between words)
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother's Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Father <input type="checkbox"/> Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Individual	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin	

## Permanent Address Details\*

 Address Type\* ☐ Residential/Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

## Link your Aadhaar Number to avail Government Subsidies

## Documents submitted as Proof of Identity (POI) / Proof of Address (POA) (Certified copy of any one of the following needs to be submitted)\*

POI	POA	Document Type	Expiry Date (DD/MM/YYYY)
<input type="checkbox"/>	<input type="checkbox"/>	PASSPORT Number <input type="text"/>	<input type="text"/>
<input type="checkbox"/>	<input type="checkbox"/>	Voted ID Card <input type="text"/>	
<input type="checkbox"/>		PAN Card <input type="text"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Driving Licence <input type="text"/>	<input type="text"/>
<input type="checkbox"/>	<input type="checkbox"/>	UID (Aadhaar) <input type="text"/>	
<input type="checkbox"/>	<input type="checkbox"/>	NREGA Job Card <input type="text"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Others, Please specify <input type="text"/>	
<input type="checkbox"/>	<input type="checkbox"/>	Simplified Measures Account - Document Type <input type="text"/>	

## Other details of Applicant

Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others :
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Individual	<input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin
Occupation Type*	<input type="checkbox"/> S-Service:	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector:
	<input type="checkbox"/> O-Others :	<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorized	

## Applicant Declaration

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- My personal/KYC details may be shared with Central KYC Registry. I hereby consent to receiving information for Central KYC Registry through SMS/Email on the above registered number/email address.
- I wish to link my/our savings account (applicable for primary applicant) towards receipt of subsidy under government schemes. I agree to abide by YES BANK LTD T & C available on YES BANK website www.yesbank.in. I understand that YES BANK may at its sole discretion and subject to applicable regulatory/statutory/internal guidelines at any time and from time to time, add to, alter or modify any of the T&Cs and that I hereby agree to abide and be bound by all such changes as if they form part of the T&Cs as at present and that any transaction in my account with YES BANK and/ or usage of any Services by me subsequent to such change shall be deemed and tantamount to my acceptance of all such changes.
- I hereby agree, declare and confirm that I shall close my Non Basic Savings Bank Deposit Account ("NON BSDBA") with YES Bank Limited within 30 days from date of this form, failing which YES Bank reserves right to close my NON BSDBA

 Date:         Place: 

(Signature/Thumb Impression)

Signature/Thumb Impression of Applicant

## Attestation/For Office Use only

Document received - ☐ certified copies

KYC verification carried out by (Sourcing Employee)	Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Emp. Name	Emp. Branch	Emp. Designation							
Emp. code	Emp.Cust ID	Employee Signature							
Emp. Code	Emp. Code								
Emp. CUST ID	Emp. CUST ID								
Signature (To be signed by BSD/BSL/BSP) .....					Signature (To be approved by BBL/RTL) .....				

## \*Clarifications/guidelines for filling POI

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

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

## Clarifications/guidelines for filling POA

- 1 In case of Simplified Measures Accounts for verifying the address of applicant, any one of the following documents can also be submitted and under noted relevant code may be mentioned

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

Account Type "Simplified" refers to low risk customers where other than OVD documents to be collected towards account opening. CKYC annexure to be filled at customer level.

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YES Securities (India) Limited (hereinafter referred to as YSL), member of National Stock Exchange of India Limited (NSE) and BSE Limited (BSE) is eligible to provide Margin Trading Facility (MTF) in NSE and BSE to its clients in accordance with prescribed guidelines, rules and circulars issued by SEBI / Stock Exchanges from time to time. The Rights & Obligations / Terms & Conditions for MTF prescribed hereunder form a part of account opening form, shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011, SEBI Circular No. CIR/MRD/DP/54/2017 Dated June 13, 2017 and the Rules, Regulations, Bye laws, Rights and Obligations, Guidelines, circulars issued by respective Stock Exchanges from time to time. By accepting the same, the client hereby acknowledges that he/she is aware and will abide the rights and obligations, rules, regulations and guidelines relating to Margin Trading Facility as specified by the regulators and mentioned below which is indicative and not the exhaustive list.

#### **A. The Client undertakes, authorizes, confirms and agrees to that:**

1. Avail MTF in accordance with the terms and conditions of MTF offered by YSL.
2. YSL at all times shall have the liberty to exercise its right in its sole discretion to determine the extent to which the MTF to be made available to the Client.
3. The Initial Margin payable shall be in the form of cash, cash equivalent, or Group I Equity securities with appropriate hair cut.
4. If the transaction is entered under MTF, there will not be any further confirmation that it is margin trading transaction other than contract note
5. YSL shall have discretion to allocate available securities/funds as collateral against MTF.
6. YSL shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of YSL) and YSL shall not be required to provide any reasons thereof nor shall YSL be liable for any damages (whether direct or consequential or whether financial or non-financial) to the Client by reason of YSL's refusal to grant MTF to the Client.
7. Client includes Individual, Company, Partnership Firm, Trust, Hindu Undivided Family, Association of Persons and Body of Individuals etc.
8. The terms / conditions / Obligations of the Client as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
9. YSL to retain and / or pledge the securities and its corporate benefits, if any, with YSL utilized for availing MTF till the amount due in respect of the said transaction including the dues to YSL is paid in full by the Client.
10. YSL to hold and / or to appropriate the credit lying in the Client account and/or any unutilized/ unpledged shares/ securities lying in demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under MTF.
11. Treat the securities available in demat account/s linked to the trading account of the Client as margin towards the MTF availed.
12. YSL shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
13. The margin trading arrangement between the YSL and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to YSL or YSL surrenders the facility or the YSL ceases to be a member of the stock exchange.
14. The MTF facility may be withdrawn by YSL, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of YSL committing any breach of any terms or conditions therein or for any other reason.

15. In the event of termination of this arrangement, the client shall forthwith settle the dues of the YSL. YSL shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the YSL to make such adjustment.
16. After such adjustment, if any further amount is due from the client to the YSL, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to YSL, YSL shall release the balance amount to the client.
17. If the client opts to terminate the margin trading facility, YSL shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.
18. YSL will not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
19. Any disputes arising between the client and YSL in connection with the margin trading facility shall have the same treatment as normal trades and should be covered under the investor grievance redressal mechanism, arbitration mechanism of the stock exchange. However, any losses suffered in connection with the margin trading facility availed by the client from YSL shall not be covered under IPF.
20. Client agrees to pay Interest at the rate as applicable. (plus taxes, if any applicable) on debit arising out of the exposure availed by the client (i.e. the amount financed by YSL), compounded monthly and any changes as mutually agreed from time to time. GST will be levied on interest for Margin Trading Facility, if applicable as per prevalent regulatory norms.

#### **21. Eligible Securities & Margin Required for MTF:**

Securities specified under "MTF Approved Category List" by YSL from time to time which must be a part of 'Group I security' as per Exchanges /SEBI shall be eligible for MTF. YSL reserves the right to include or exclude any Securities from its "MTF Approved Category List" as per the Risk Management policy .

The client shall deposit the following initial margin, in order to avail MTF:

Category of Stock	Applicable Margin
Group I stocks available for trading in the F & O Segment	VaR + 3 times of applicable ELM or YSL MTF VaR (whichever is higher)
Group I stocks other than F&O stocks	VaR + 5 times of applicable ELM or YSL MTF VaR (whichever is higher)

#### **22. Rights of the Client**

1. Client shall receive all communications in a mode mutually agreed between YSL and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Free to take the delivery of the securities at any time from its MTF account to normal trading account by repaying the amount that was paid by YSL to the Exchange towards securities after paying all dues.
3. May change the securities collateral offered for MTF at any time so long as the securities so offered are approved for MTF by YSL.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues

#### **23. Obligations of the Client**

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of MTF in accordance with the terms and conditions of MTF offered by YSL, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform YSL of its intent to shift the identified transaction under MTF within the time lines specified by YSL failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as YSL may specify to the client from time to time.



4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the YSL within such time as the YSL may specify.
5. By agreeing to avail MTF with YSL, client is deemed to have authorized YSL to retain and/or pledge the securities provided as collateral or purchased under the MTF till the amount due in respect of the said transaction including the dues to YSL is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and YSL.

#### 24. Rights of YSL

1. YSL and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. YSL may set up its own risk management policy that will be applicable to the transactions done under the MTF. YSL may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the MTF.
3. YSL has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the MTF.
4. YSL may liquidate the securities if the client fails to meet the margin call made by YSL as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call. However, YSL, as per its Policies and Procedures, as agreed between YSL and the client at the time of account opening and any subsequent changes thereof (which are updated on the website from time to time), has the right to sell client's securities or close client's position, without giving any notice to the client in case when market is volatile and/or there are losses in the client's which are not paid by the client with immediate effect. YSL being a web based broker, disseminates all risk related information real time & online and all clients are bound to log in to their trading account and keep themselves updated about their positions and margin requirements made available on real time basis.

#### 25. Obligations of YSL

1. Any transaction to be considered for exposure to MTF shall be determined as per the policy of YSL provided that such determination shall happen not later than T + 1 day. In case the determination happens after the issuance of contract, YSL shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
2. Margin Trading Accounts where there were no transactions for 90 days shall be settled immediately.
3. If securities are liquidated due to 'margin call', the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
4. The stocks deposited as collateral with YSL for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount

#### 26. Mode of Communication

1. Accept all types communications including consent to the Terms and Conditions, order / trade confirmation, revision in margin, margin calls / decision to liquidate the position / security / collateral, Margin statements, margin policies on hair-cuts / VAR margin, Risk management policies, Rights & obligations, allowable exposure, specific Security exposure etc herein through email / SMS from/to his email id / mobile number registered with YSL or by online mode by logging-in on the website of YSL in a secured manner or by physical mode, based on client's preference.
2. Any communication done with any of the aforesaid means shall be deemed to have been received by the client.

I have read and understood the above terms and hereby give my consent to abide the same and to enable the Margin Trading Facility in my trading account.

Date:

Place:

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Sole/First Account Holder

Second Account Holder

Third Account Holder



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**FOR OFFICE USE ONLY**

**Form Maker (BSP / Officer & Above)**

Employee code

Employee Name & Signature \_\_\_\_\_

**Form Checker (BSL / BBL / Sr. Officer & Above)**

Employee code

Employee Name & Signature \_\_\_\_\_

**No Cash Accepted**  
**Do not forget to take your Acknowledgement Copy**

**ACKNOWLEDGEMENT**

I acknowledge and declare that I have received, read and understood, and agree to the content of :-

1. YES Securities (India) Ltd. Tariff Sheet (Part A - Page No. 9,20)
2. Rights & Obligation Document (Part B - Page No. 1-12)
3. Risk Disclosure Document (Part B - Page No. 13-18)
4. Guidance note (Part B - Page No. 18-23)
5. Policies and Procedures (Part B - Page No. 23-29)
6. Voluntary Clauses (additional clauses otherthan specified by SEBI.) (Part C - Page No. 30-74)
7. Right and Obligations of Beneficial Owner and Depository (Part D Page No.76-77)

Client's Signature



Client Name