

YSL Scheme Code: _____

Company Code: _____

Promo Code: _____

Product: _____

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 <input type="text"/>	LG Employee Name _____
LC Code <input type="text"/>	LC Name _____
AP Code <input type="text"/>	AP Name _____



**YES SECURITIES TRADING & YES BANK DEMAT
ACCOUNT OPENING FORM
PHYSICAL NON INDIVIDUAL**

PART A

YES SECURITIES (INDIA) LIMITED

Registered office - YES BANK House, 2nd Floor, Off Western Express Highway, North Side, Santacruz East, Mumbai – 400 055.
Correspondence address - YES Securities (India) Limited, AFL House, 4th Floor, Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai – 400 059.

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	2-3, 31, 32
		B. Additional KYC details for opening Demat Account with YES BANK Ltd.	PART A	2-5
		C. Document captures the additional information about the constituent relevant to trading account - MTF Rights & Obligations, Commodity Annexure, A/c opening annexure, Client declaration and an Instruction/ check list.	PART A	7,8,10 11-16 34, 35
		D. Beneficial Owners / Controlling Persons Details	PART A	22-24
		E. FATCA - CRS Declaration for Non-Individual Entities	PART A	25,26
2	Letter of Confirmation	Declaration submitted by customer for availing Demat services	PART A	16
3	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	8,29
4	Rights and Obligations of Beneficial Owner and Depository Participant	Document stating the Rights & Obligations of Depository Account Holder.	PART A	27-28
5	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
6	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	
7	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors	PART B	
8	Policies and Procedures	Document describing significant policies and procedures of the stock broker	PART A	19-21
9.	Investor Charter for Stock Broker	Document detailing the activities of Stock Brokers with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism		
10.	Investor Charter for Depository Participant	Document detailing the services provided to Investors, Rights of Investors, various activities of Depository Participant with timelines, Dos and DON'Ts for Investors and Grievance Redressal Mechanism		
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER				
11	Bank Mandate and DDPI	Document required for linkage of Bank and Demat account for experience of seamless trading in securities.	PART A	11-13
12	Voluntary Authorizations and Declarations	Declarations/ Authorization from client for various purposes including maintaining account on running basis.	PART A	17-18
13	Voluntary Clauses	Additional clauses other than specified by SEBI to facilitate transaction of client.	PART C	Separate Copy for Client
14	Intimation of Prevention of Money Laundering Act	Document is to make the client aware of Prevention of Money Laundering provisions.	PART C	
15	Rights and Obligations of Beneficial Owner and Depository Participant	Document stating the Rights & Obligations of Depository Account Holder.	PART D	
Registered Office Address		YES BANK House, 2nd Floor, Off Western Express Highway, North Side, Santacruz (E), Mumbai - 400 055.		
Correspondence Office Address:		YES Securities (India) Limited, AFL House, 4th Floor, Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai - 400 059.		
Compliance Officer Name, Phone No. & Email ID:		Mr. Aditya Goenka, (022) 6507 8127, compliance@ysil.in		
CEO Name, Phone No. & Email ID:		Managing Director & CEO - Mr. Anshul Arzare (022) 65078120, ceo@ysil.in		
Name of Stock Broker / Trading Member / Clearing Member		YES Securities (India) Limited		
SEBI Registration No.: INZ000185632 (Member Code.: BSE – 6538, NSE- 14914, MCX – 56355, NCDEX – 1289)		SEBI Registration No.: IN-DP-653-2021 (CDSL – 12094600 & NSDL – IN304527) GST : 27AAACY6065C1ZD		
INVESTMENT ADVISORY - INA000007331		RESEARCH ANALYST - INH000002376		
MERCHANT BANKER - INM000012227		AMFI ARN Code: 94338		
CIN: U74992MH2013PLC240971		(CAT III AIF) SEBI Registration No. IN/AIF3/20-21/0818		
For any grievance / dispute please contact				
YES Securities (India) Ltd. at the above address or email us at customer.service@ysil.in or call at (022-7100 9830)				
In case you are not satisfied with the response, please contact concerned exchanges and depository.:				
BSE at is@bseindia.com ; Tel. No. 022-2272 8097 / 022-2272 1233/34,				
NSE at ignse@nse.co.in ; Tel. No. 1800 22 0058 / 022-2659 8190,				
MCX at grievance@mcxindia.com ; Tel. No. 022-6649 4070 / 022-6731 8888,				
NCDEX at ig@ncdex.com ; Tel. No.: 022-6640 6789 / 022-6640 6084,				
CDSL at complaints@cDSLindia.com ; Tel. No.: 1800-22-5533				
NSDL at relations@nsdl.co.in ; Tel No: 1800 1020 990 / 1800 224 430				
SEBI score link - https://scores.gov.in/scores/Welcome.html				

Details of Authorised Signatories / Promoters / Partners / Karta / Trustees and Whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individual

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Name and Signature of the Authorised Signatory(ies)	Date: <table border="1" style="width:100%; height: 20px;"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		

DEPOSITORY SERVICES ACCOUNT OPENING FORM



Serial No.

SECTION A: PERSONAL DETAILS

Participant Name (DP ID IN303270 YES BANK Ltd.)

Address: YES BANK House, Off Western Express Highway, 2nd Floor, North Side, Santacruz (E), Mumbai – 400 055.

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)

Client-ID

(To be filled by Participant)

Date:

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

Type of account Body Corporate Foreign Body Bank Trust HUF QFI MF
 FI FII Clearing Member Others -----

Details of Account holder (s):

Name

PAN

Name of Corporate
(Sole / First Holder)

Second Holder

Third Holder

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

Name PAN

List of Family Members for HUF only (Separate Annexure may be used in case number of member is higher)

Sr. No.	Name of Coporacener/Member	Gender	Date of Birth <small>DD MM YY YY</small>	Relation with Karta	Whether coparecener/ Member(Please specify)

Bank Details (For receiving credit of Dividend / Interest)

1. Customer ID	<input style="width: 100%;" type="text"/>					
2. Customer ID of Karta (in case of HUF)	<input style="width: 100%;" type="text"/>					
3. AccountType	<input type="checkbox"/> SavingsAccount <input type="checkbox"/> CurrentAccount <input type="checkbox"/> Others (Please specify) _____					
4. Account Number	<input style="width: 100%;" type="text"/>					
5. Name(s) of BankAccount Holder(s)	<input style="width: 100%; height: 30px;" type="text"/>					
6. BranchAddress	<input style="width: 100%; height: 30px;" type="text"/>					
Bank Name:	Flat / Building / Tower / Apartment / Palace / Chamber / Mansion					
Bank Branch:	Street / Road / Marg / Lane / Avenue / Rasta					
	Area / Landmark					
	<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">City</td> <td style="width: 20%;">State</td> <td style="width: 20%;">Country</td> <td style="width: 20%;">PIN <small>(Mandatory)</small></td> <td style="width: 20%;"><input style="width: 100%;" type="text"/></td> </tr> </table>	City	State	Country	PIN <small>(Mandatory)</small>	<input style="width: 100%;" type="text"/>
City	State	Country	PIN <small>(Mandatory)</small>	<input style="width: 100%;" type="text"/>		
7. MICRCode	<input style="width: 100%;" type="text"/>					
8. IFSC	<input style="width: 100%;" type="text"/>					

Debit Authorisation

I/We authorise YES BANK to debit recover charges pertaining to opening & maintenance of Demat Account, transaction, or any other charges related to Demat Account from the said YES BANK account.

Account Number Branch Name -----

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 DDPI Yes No

NOTE: Standing instructions for Non-PIS/NRE/NRO Demat A/c will be by default marked As "No"

SMSAlert facility: [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]

- | | | | | |
|---------------------|--------------------------|-----|--------------------------|----|
| 1 Sole/First Holder | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 2 Second Holder | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |
| 3 Third Holder | <input type="checkbox"/> | Yes | <input type="checkbox"/> | No |

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

Foreign Address (Mandatory)				Flat / Building / Tower / Apartment / Palace / Chamber / Mansion											
				Street / Road / Marg / Lane / Avenue / Rasta											
				Area / Landmark											
City			State			Country			PIN (Mandatory)						

RBI Reference No. _____

RBI Approval Date

SEBI Registration No. (For FIIs) _____ SEBI Registration Date

Mode of receiving Statement of Account and Standard Documents (If not ticked consider electronic)

- Physical Electronic Form (ensure that email ID is provided in KYC application form)

Income Details (Please Specify)

*Gross annual income(₹) Below ₹20 Lac ₹20 - 50 Lac ₹50 Lac - 1 Crore Above 1 Crore

(Income range per annum)

AND Net worth (₹) as on date Net worth should not be older than one year

Please tick, if applicable for any your authorized signatories/ Promoters/ Partners/ karta/ Trustees/ whole time director Politically Exposed Person (PEP) Related to a Politically Exposed Person (PEP) Any other information _____

Clearing Members Details (to be filled up by Clearing Members only)

1. Name of Stock Exchange															
2. Name of Clearing Corporation /Clearing House															
3. Clearing Member ID															
4. SEBI Registration Number								SEBI Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
5. Trade Name															
6. CM-BP-ID (to be filled up by Participant)															

Mode of Operation for Sole/ first account holder (in case of joint holdings, all the account holders must sign)

Any one singly _____ Jointly by _____

As per resolution _____ Others _____

(please specify)

DEPOSITORY ACCOUNT OPENING FORM



Serial No.

Declaration

1. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/ we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts.
2. 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,
3. I am/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.
4. I/We declare that all the particulars and information given in the application are true, correct, complete and updated in all respects and I/we have not withheld any information.
5. I/We agree and confirm that I/we have read the terms and conditions of the account facility, and the terms and conditions pertaining to usage of channels for access of the said account facility as put up on www.yesbank.in and am/are aware of and will adhere to all the terms/conditions of opening/maintaining the said account and usage of the channels with/by YES BANK Ltd. as may be in force from time to time. I/We further declare that I/we have read and are/am aware of and will adhere to the rules of the Depository with relation to maintenance and operation of the account.
6. I/We understand that certain particulars provided by me/us are required by the operational guidelines governing banking companies. I/We understand that YES BANK Ltd./and its agents reserve the right to reject any application without providing any reason. I/We further declare and confirm that the credit facilities, if any, enjoyed by me/us with other banks have been disclosed herein above.
7. I/We authorize YES BANK Ltd./and its agents to make references and enquiries with respect to the information required in the application form which YES BANK Ltd. or its agents consider necessary. I/We undertake to inform YES BANK Ltd./ its Agents regarding any change in my/our residence/ employment and to provide any further information that YES BANK Ltd./its Agents may require.
8. I/We authorise YES BANK Ltd./its Agents to exchange, share or part with all the information relating to my/our application and transaction information to other YES BANK Ltd./ its Agents/ Banks/ Financial Institutions/ Credit Bureaus/ Statutory Bodies and shall not hold YES BANK Ltd./its Agents or other persons to whom such information is disclosed liable for the disclosure or use of such information.
9. We, the joint applicants hereby confirm that we have instructed and authorised the first applicant to view/access the information on the said account for and on behalf of all of the undersigned and under our specific instructions as stated in this letter. We hereby state that should we wish to revoke the above authorisation, we shall duly issue a letter of revocation to YES BANK in this regard. We hereby agree that until ten days after YES BANK receives such letter revoking the above mandate, the authorisation as afore stated shall hold good.
10. I/We hereby declare and confirm that, it shall be my/our responsibility to ensure legal and regulatory compliance for the investments made by me/us, including but not limited to the Foreign Exchange Management Act, 1999 and terms and conditions of NRE/NRO account and Exchange Control Regulations. (Applicable in the case of non-residents).
11. I/We further agree that any false/ misleading information given by me/us or suppression of any material fact will render my/our account liable for termination and further action.

Date:

Place: _____

Photographs of Authorised Signatories [Please provide documentary proof of the Identity & Address of all the Account Holders - options listed under documentary proof below.]

Sole/First Account Holder First Signatory/Karta of HUF	Sole/First Account Holder Second Signatory	Sole/First Account Holder Third Signatory	Second Account Holder	Third Account Holder
Please paste a recent passport size photograph (Don't staple) Sign across photograph	Please paste a recent passport size photograph (Don't staple) Sign across photograph	Please paste a recent passport size photograph (Don't staple) Sign across photograph	Please paste a recent passport size photograph (Don't staple) Sign across photograph	Please paste a recent passport size photograph (Don't staple) Sign across photograph

Sole/First Account Holder	Name	Signature(s)* <small>Company Seal/Rubber Stamp should be affixed.</small>
First Signatory/Karta of HUF		X
Second Signatory		X
Third Signatory		X
Other Account Holder(s) Second Account Holder		X
Third Account Holder		X

*Thumb impressions and signatures other than English or Hindi or any of the other languages contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate.

Notes:

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. Instructions related to nomination, are as below:
 - a) The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - b) A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - c) The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - d) Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - e) Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - f) The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - g) On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
4. Strike off whichever is not applicable.

TRADING ACCOUNT RELATED DETAILS

Regd. Office: YES BANK House, 2nd Floor, Off Western Express Highway, North Side, Santacruz East, Mumbai – 400 055.

(To be filled by applicant only)



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. Please strike off the segment not chosen by you.

Exchanges	NSE, BSE				MCX
All Segments	Cash/ Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
 3	 4	 5	 6	 7 NA	 8

If you do not wish to trade in any of segments / Mutual Fund, please mention here _____
 # If in future, the client want to trade on any new segment / new exchange, separate authorisation / letter would be required. Please specify the proof submitted to avail the privileges to trade in derivatives segment: (Please refer page 13)

Note - You will not get the access of exchange in which YES Securities (India) Ltd is not registered or active.

OTHER DETAILS (PLEASE SPECIFY)

*Gross annual income(₹) (Income range per annum) Below 1 lac 1-5 lac 5-10 lac 10-25 lac 25 lac-1cr Above 1cr
OR Net worth (₹)

 as on date

 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 AP AND OTHER STOCK BROKERS Not dealing, If yes, please mention details below:

APName:

 SEBI/ AP Registration Number:

Registered Office Address:

 Phone: _____ Fax: _____ Website: _____

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

Name of Stock Broker:

 Name of AP; if any:

Client Code:

 Exchange:

Details of disputes/dues pending from/to such stock 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

 Stock

 Derivatives

Other investment related field Any other information:

TRADING ACCOUNT RELATED DETAILS

(To be filled by applicant only)



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.

We are tax resident of any country outside India. (If Yes, Please fill in the Annexure separately)

Yes No

Place : Date :

Sole/First Account Holder	Name	Signature(s)* <small>Company Seal/Rubber Stamp should be affixed.</small>
First Signatory/Karta of HUF/ Partners / Trustee		X
Second Signatory/ Partners / Trustee		X
Third Signatory/ Partners / Trustee		X

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

Schedule of Charges – DEMAT ACCOUNT

Charge	Type	Resident Individual	Global Indian Banking (Non Resident)	Corporate/HUF	Basic Services Demat Account (BSDA)	
A/C opening Charges					Nil	
Annual Maintenance Charges(AMC)*		₹ 500	₹ 1000	₹ 500	Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Maximum Annual Maintenance Charges
					Up to INR 4 lakh	Nil
					More than INR 4 lakhs but up to INR 10 lakhs	INR 100
					More than INR 10 lakh	Not a BSDA. Regular AMC may be levied.
Credit Transaction (Buy : Market & Off Market)						
Debit Transaction (Market, Off Market, Inter- depository)	% of transaction value of each ISIN	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	
Dematerialization	Per Request Form	₹ 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/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)	
NDU	% of transaction value of each ISIN	0.02% (Min ₹30/-; Max ₹50,000)	0.02% (Min ₹30/-; Max ₹ 50,000)	0.02% (Min ₹30/-; Max ₹ 50,000)	0.02% (Min ₹ 30/-; Max ₹ 50,000)	
Margin Pledge Initiation / Release / Invocation		Rs. 10	Rs. 10	Rs. 10	Rs. 10	

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

Terms and Conditions

(1.) All the above charges are exclusive of NSDL / CDSL Charges and will be charged at actuals (2.) NSDL / CDSL charges are available on YES Bank website. Kindly visit <https://www.yesbank.in/personal-banking/yes-individual/wealth-management/demat-account> (3.) The value of shares and charges are calculated as per NSDL /CDSL formula and rates (4.) The depository services are liable to discontinuation if YES BANK is unable to recover charges from the customer, for any reason whatsoever. (5.) Any service that is not indicated above will be charged separately as per the rates applicable from time to time. (6.) 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. (7.) 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. (8.) Government levies /Taxes chargeable extra as per applicable rates. (9.) Transaction charges will be payable monthly. (10.) 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/CDSL. The AMC will be calculated at pro rata basis based on the value of holding of securities in the demat account. (11.) 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. (12.) Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit instructions. (13.) Operating instructions of the joint accounts must be signed by all the holders. (14.) All instructions for transfer must be received at the designated DP servicing branches of the YES BANK at least 24 hours before the execution.

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:

9

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
Type	Brokerage	Brokerage	Brokerage
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.
 - In addition, Bounce charges of Rs. 50/- is levied in case where e-mail containing Electronic Contract Note or Margin Statement or any other statement is undelivered.
 - 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 rate per executed order or 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%.

10

Signature of Client

To,
YES Securities (India) Limited,
YES BANK House, Off Western Express Highway,
2nd Floor, North Side, Santacruz East,
Mumbai – 400 055.

Sub : Disclosure of Commodity-wise Client Categorization

As per regulatory requirement, I/We here by submit/update my/our commodity-wise categorization depending on my/our nature of activity.

I/We further confirm that in case of any change in categorization, I/We shall update same with YES Securities (India) Limited (YSIL), and I/We understand that you may be required to disclose to Exchanges/SEBI.

Commodity Categorization (Please tick the relevant category)					
Name of Commodity	Farmers/FPOs	Value chain participants (VCPs)	Domestic financial institutional investors	Foreign participants	Others
ALUMINIUM					
CARDAMOM					
CASTORSEED					
COPPER					
COTTON					
CPO					
CRUDEOIL					
GOLD					
KAPAS					
LEAD					
MCXBULLDEX					
MENTHAOIL					
NATURALGAS					
NICKEL					
PEPPER					
SILVER					
ZINC					

Category Explanation

- Farmers/FPOs:** It includes participants such as farmers, farmers' cooperatives, Famers Producers Organizations (FPOs) and such entities of like nature.
- Value chain participants (VCPs):** It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Produces, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- Domestic financial institutional investors:** It includes participants such as Mutual Funds (Mfs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
- Foreign participants:** It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- Others:** All other participants which cannot be classified in the above categories.

Your Faithfully,

Name of Client : _____

Date:

Place _____


Signature of Client


This document is voluntary. However, the same is required to be executed by the customers in order to avail of seamless trading platform with integrated bank account, demat account and broking account. If you do not wish to use the services of YES Bank Limited and YES Securities (India) Limited, you need not to execute this document.

To,
YES Bank Limited

CC:
YES Securities (India) Limited

Dear Sir/ Madam,

Sub: Request to add a mandate holder.

The person(s) specified in the **Schedule [A]** hereto ("**the Bank Account Holder(s)**") hold bank account(s), details of which are more particularly mentioned in **Schedule [A]** hereto under title "Bank Account Holder Details" ("**the Bank Account(s)**"), with YES Bank Limited ("**the Bank**").

The person(s) specified in Schedule [B] hereto ("**the Client**") is/are desirous of investing and/or trading in securities/commodity, in cash and/ or derivative segment's, making investments and entering into various transactions with YES Securities (India) Limited, a company incorporated under the provisions of the Companies Act, 1956 and existing under the provision of the Companies Act, 2013, being a Securities Exchange Board of India registered Trading Member having SEBI Single Registration No. - INZ000185632), having its registered office at 2nd Floor, North Side, YES BANK House, Off Western Express Highway, Santacruz (East), Mumbai – 400 055 and having an office, inter alia, at Part Gr. & 1st Floor, T. S. No. 60 & 61, Block No. 10, Door No. 24, Ambalathadayar Madam Street, Puducherry (Pondicherry) - 605 001 ("**the Stock Broker**").

To facilitate proper execution and seamless experience of all the transactions executed by the Client in its trading account with the Stock Broker ("**the Trading Account**") and for availing various services offered by the Stock Broker and to give effect to all the terms and conditions as specified in the Trading Account opening form/other documents pertaining to the Trading Account, the Bank Account Holder(s) is/are hereby appointing the Stock Broker as his/her/their mandate holder in respect of Bank Account(s).

The Bank Account Holder(s), do hereby, jointly and severally, request the Bank to register the Stock Broker as a mandate holder to operate the Bank Account(s) for and on behalf of the Bank Account Holder(s) and authorise the Stock Broker to operate the Bank Account(s) for the following purposes:

1. To transfer the funds from the Bank Account(s)
 - i) for meeting the settlement obligations/margin requirements in connection with the trades executed by the Client on the exchanges through the Stock Broker;
 - ii) for recovering any outstanding amount due from the Bank Account Holder(s)/the Client arising out of trading activities on the exchanges through the Stock Broker;
 - iii) for meeting obligations arising out of the Bank Account Holder(s)/the Client applying/subscribing to any other services as offered by the Stock Broker; and
 - iv) for application towards monies/fees/charges, etc., due to the Stock Broker/principal payable by virtue of the Bank Account Holder(s)/the Client using/ subscribing to any service's offered by the Sock Broker, availed by the Client.

2. To, inter alia, block and/or hold and/or create lien on all or any of the monies lying in the Bank Account(s) or in such other manner as the Stock Broker may deem fit, without any further instructions 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 into the bank accounts of the Stock Broker as listed in Annexure A hereto;

The Bank Account Holder(s), do hereby, jointly and severally, agree and undertake that the instructions given by the Stock Broker to the Bank to block the funds in the Bank Account(s) in connection with a transaction done by the Client(s) across the exchanges/products as offered by the Stock Broker and availed by the Client(s) shall be given priority over any other subsequent instructions given or issued by the Bank Account Holder(s).

The funds once blocked as per the instructions of the Stock Broker in connection with a transactions across the exchanges/products offered by the Stock Broker entered or to be entered into by the Client/Bank Account Holder(s) with or through the Stock Broker shall be released at the discretion of the Stock Broker and as per the instructions of the Stock Broker to the Bank.

The Stock Broker shall return to the Bank Account Holder(s) the funds that may have been received by it erroneously or that it was not entitled to receive and vice versa.

The instructions contained herein may be revoked by the Bank Account Holder(s) at any time by giving a notice in writing to the Stock Broker and the Bank. The revocation/ termination of the authorization herein shall in no way affect the validity of the authorizations herein with reference to any transaction(s) initiated by the Client/Bank Account Holder(s) or the Stock Broker pursuant to the authorizations herein, prior to the actual receipt by the Stock Broker and the Bank of intimation of such revocation or termination, as provided hereinabove. In case of multiple Bank Account Holder(s), the revocation of the authorizations herein by one of the Bank Account Holder(s) shall not revoke the authorizations herein with respect to the other Bank Account Holder(s).



(Sole / First Account Holder)



The Bank Account Holder(s) understand that the authorizations herein do not impose a duty on the Stock Broker to exercise any authorizations granted hereunder. The Stock Broker may at its sole and absolute discretion without being liable to the Client/Bank Account Holder(s) in any manner whatsoever may not exercise any authorizations granted hereunder and the Bank Account Holder(s) absolutely, unconditionally and irrevocably agree(s) and undertake(s) that the Stock Broker shall not be liable to the Client/Bank Account Holder(s) for any loss/damage which the Client/Bank Account Holder(s) may suffer due to the Stock Broker exercising/not exercising any authorizations granted to it hereunder.

The Bank Account Holder(s) understand(s) that anything the Stock Broker may do in the exercise of such rights and powers hereunder shall be fully binding upon the Bank Account Holder(s). The Bank Account Holder(s) specifically agree(s) that any matter or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian laws.

The Bank Account Holder(s) hereby irrevocably and unconditionally agree and undertake that the Bank is hereby authorized to follow the instructions of the Stock Broker with respect to the operation of the Bank Account(s) as per the instructions contained herein without seeking any further authority/confirmation/direction from the Bank Account Holder(s). All the operations/ transactions into the Bank Account(s) as per the instructions of the Stock Broker shall be as good, valid and effectual to all intents and purposes whatsoever as if the same had been done by the Bank Account Holder(s) in his/her/their own name and person.

The Bank Account Holder(s) shall, jointly and severally, at all the times keep the Bank and each of its officers, directors, employees, representatives, attorneys and agents ("**the Indemnified Party**") fully indemnified from and hold each of them harmless for any and all liabilities, obligations, losses, damages, penalties, actions, judgments, suits, costs, expenses of any kind or nature whatsoever which may be imposed upon, incurred by or asserted against the Indemnified Party and hold each Indemnified Party harmless in any way in connection with or arising out of the negotiation, execution and/or performance of these presents. This Indemnity shall survive the revocation of the instructions contained herein and closure of the Bank Account(s).


Schedule A - YES BANK Account details		
Account Type:	SA <input type="checkbox"/> CA <input type="checkbox"/>	Account Number:
MICR Code:		IFSC Code:
Branch Address:		

Bank A/c Holder(s)	Name	Signature
1 st Holder		
2 nd Holder		
3 rd Holder		

Schedule B - Client's Details	
Client Code:	
Name of the Client:	
Address:	

Annexure A - List of YES Securities (India) Ltd., Bank and Demat accounts.

Bank Name	YES BANK Limited	Bank Name	AXIS BANK LTD	Bank Name	ICICI BANK LTD
Account No	041987400000013, 041987400000032, 041983000000028, 041983000000343, 041983200000070	Account No	913020043300663, 913020043310181, 913020043260510	Account No	000405121760, 000405121767, 000405123238













 _____
(Sole / First Account Holder)

Schedule I - Client's Details

DP ID: IN303270	Name of DP: YES Bank Limited
DP Client ID:	Trading Code (UCC):
First Holder Full Name:	
Address:	

Schedule II - Details of Stock Broker's Demat Accounts Details (YES Securities (India) Limited)

Name of Depository Participant			YES BANK Limited			Name of Depository Participant			YES Securities (India) Limited		
Depository	DP ID	Client ID	Depository	DP ID	Client ID	Depository	DP ID	Client ID	Depository	DP ID	Client ID
NSDL	IN303270	10055450 11030078 10957144 10055468 10957136 10957128	CDSL	12094600	00000100 00000041 00000212 00000115 00000149 00000227 00000168						
	IN301330	40514507									

Sr. No	Purpose	Client's Signature
1	Transfer of securities held in the beneficial owner account of the client towards Stock Exchanges related deliveries /settlement obligations arising out of trades executed by clients on the Stock Exchange through the same Stock Broker	 1 st Holder (15)
		 2 nd Holder (SH-2)
		 3 rd Holder (TH-2)
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.	 1 st Holder (16)
		 2 nd Holder (SH-3)
		 3 rd Holder (TH-3)
3	Mutual Fund Transactions being executed on Stock Exchange order entry Platforms	 1 st Holder (17)
		 2 nd Holder (SH-3)
		 3 rd Holder (TH-3)
4	Tendering shares in open offers through Stock Exchange Platforms	 1 st Holder (18)
		 2 nd Holder (SH-3)
		 3 rd Holder (TH-3)

To,
 YES Securities (India) Limited,
 AFL House, 4th Floor,
 Lok Bharti Complex, Marol Maroshi Road,
 Andheri (E), Mumbai.- 400059,
 Maharashtra, India

Dear Sir,
 I hereby subscribe to the under mentioned plan for my trading account

Plan Name (Please tick one plan)	Account Opening Charges (Rs.)
<input type="checkbox"/> YES VALUE	Rs. 999/-
<input type="checkbox"/> YES PROSPERITY	
<input type="checkbox"/> YCOP	

Terms & Conditions

1. The above account opening charges are to be refunded to customer's upto Rs. 999/- subject to generation of brokerage, within three months of the account opening date.
2. Refund amount will be credited after completion of offer, within three months.
3. The offer is available to Resident Individual and Non-Individual customers only. This offer is not available to NRI Clients.
4. The offer cannot be clubbed with any other offer, scheme or Brokerage plan offered by YES Securities (India) Ltd.
5. Statutory charges, stamp duty, other charges and STT as applicable shall be levied and no reversal shall be provided on the same.
6. In case of any dispute, the decision of the management of YES Securities (India) Ltd. shall be final and binding on the client.
7. All disputes arising out of or in connection with this offer are subject to the exclusive jurisdiction of the Courts in Mumbai only.
8. The said charges will be debited in my linked bank account of trading account. I have clearly understood the plan and the terms and conditions, as explained hereinabove and agree to abide by the same.
9. GST (Goods and Service Tax) is applicable on account opening charges i.e. currently 18%. GST includes- CGST, SGST, IGST or UTGST which will be charged based on the place of servicing.

Client Name: _____

Date: _____



 Authorised Signatory

To,
 YES Securities (India) Limited,
 AFL House, 4th Floor,
 Lok Bharti Complex, Marol Maroshi Road,
 Andheri (E), Mumbai.- 400059,
 Maharashtra, India

Dear Sir,
 I hereby subscribe to the under mentioned plan for my trading account

Plan Name (Please tick one plan)	Account Opening Charges (Rs.)
<input type="checkbox"/> YES FIRST	NIL
<input type="checkbox"/> YES PREMIA	
<input type="checkbox"/> YES PROSPERITY MANAGED	

Terms & Conditions

1. The offer is available to Resident Individual and Non-Individual customers only. This offer is not available to NRI Clients.
2. The offer cannot be clubbed with any other offer, scheme or Brokerage plan offered by YES Securities (India) Ltd.
3. Statutory charges, stamp duty, other charges and STT as applicable shall be levied and no reversal shall be provided on the same.
4. In case of any dispute, the decision of the management of YES Securities (India) Ltd. shall be final and binding on the client.
5. All disputes arising out of or in connection with this offer are subject to the exclusive jurisdiction of the Courts in Mumbai only.
6. The said charges will be debited in my linked bank account of trading account. I have clearly understood the plan and the terms and conditions, as explained hereinabove and agree to abide by the same

Client Name: _____

Date: _____



 Authorised Signatory

LETTER OF CONFIRMATION

YES BANK LIMITED,
YES BANK House, 2nd Floor,
Off Western Express Highway, North Side,
Santacruz (E), Mumbai - 400 055.

Dear Sir,

Sub: Opening of an Account for holding Dematerialised Securities

I / We refer to my / our application for opening of a dematerialised securities account ("DP Account") with YES BANK Limited (here in after called "YES BANK") we here by agree and confirm that:




1. YES BANK as Depository Participant (DP) will not be liable to us for any action taken or authorised to be taken or for any claim loss, damages or expenses arising in connection with any such action or omission except in so far as the same results from bad faith, willful default or negligence on the part of YES BANK.
2. Neither YES BANK, nor any of its Agents shall be liable for any failure to perform its obligations, to the extent that such performance has been delayed, hindered or prevented by systems failures, network errors, delay or loss of data due to the above and in circumstances of acts of God, floods, epidemics, quarantine, riot or civil commotion and war, or for any reason beyond their control.
3. YES BANK as DP, will not be responsible for the title, validity or genuineness of any securities which have been dematerialised and notified subsequently by the Registrars of any defects in its title / validity which has resulted in a reduction of the dematerialised holdings of the client and the consequences thereon.
4. I / We hereby agree to hold YES BANK harmless against all actions, proceedings, claims and demands, cost and expenses incidental thereto which may be brought against, suffered or incurred by YES BANK as Depository Participant by reason of all acts done by it pursuant to the provisions of the above referred agreement executed at the time of opening the DP Account, including any action or omission undertaken in compliance with any instructions received by YES BANK which YES BANK believes in good faith to have been given by me / us and make good the losses incurred by YES BANK on all legal, professional and other expenses incurred by YES BANK.
5. I / We undertake to send YES BANK instructions relating to the transfer of securities latest by 4 p.m. on a business day (excluding Saturdays, Sundays and Bank Holidays) prior to the Pay-in date for the Settlement number indicated by me / us in the debit instruction. We note that the instructions received by YES BANK after this, will be executed at Client's Risk. YES BANK is not liable for any losses arising out of those DIS "Accepted at Client Risk" basis.
6. YES BANK will not be responsible for any failure as a result of non-receipt or receipt of incomplete / erroneous instructions, though received within the stipulated time.
7. All instructions will be signed by me / us or by an authorised person on my / our behalf whose signature has been lodged with YES BANK along with relevant documents as required by YES BANK. I / We shall inform YES BANK about the changes in the list of authorised persons and their specimen signatures from time to time.
8. I / We am / are agreeable to pay the fees for the services rendered by YES BANK as per the schedule of charges included in the DP account opening form. I / We hereby authorise and instruct YES BANK to debit the Bank Account to be notified by me / us for the fees and other charges and undertake to ensure that adequate balances are made available in the Bank Account. I / We further confirm that, the securities held in my / our DP Account are subject to alien / right of set off in favour of YES BANK for the claims of monies payable to YES BANK pursuant to opening of my / our DP account. And other documents of DP account opening form accepted by me / us.
9. I / We am / are agreeable to be bound by changes in the terms and conditions, change in procedure and / or revision of the Schedule of Charges from time to time, at the sole discretion of YES BANK. I / We further agree and confirm that notification of such changes by uploading on the website of YES BANK shall be adequate and sufficient notification of such change. In confirmation of the above:
10. The particulars given and declarations made by me / us in the account opening form, other declarations and in this letter are true as on the date hereof and any changes will be informed to you immediately. I / We further confirm that YES BANK is not liable and responsible for any incorrect information given to YES BANK nor for any false declaration furnished to YES BANK and the consequential effects thereon.
11. I / We have read and understood the rules and regulations pertaining to the Depository and Depository Participants in connection with opening and operating of DP Accounts.
12. I / We authorise YES BANK to issue / re-issue a DIS book let through Post or Courier or as per their standard practice. The courier charges will be debited in my / our account.
13. I / We also agree that, in case of my / our not following the terms and conditions YES BANK reserves the right to discontinue execution of any instruction in my / our account.
14. (a) I / We hereby authorise YES BANK, to claim from my / our bank account mentioned under "Electronic Clearing Service (Debit Clearing) Mandate / Direct Debit Mandate and Bank details for receiving dividend / interest", the charges in respect of the Demat Account.

I / We further confirm that -

- i) I / We am / are agree able to participate in Electronic Clearing Services (Debit Clearing) of RBI and enclose the Mandate Form.
- ii) The Bank has been authorised to debit my / our account with the charges and remit the proceeds to YES BANK in the manner advised by YES BANK from time to time. YES BANK may forward a copy of the authorisation to the Bank.
- (b) I / We hereby undertaken ot to revoke the standing instruction given to my Bank for the above without the written approval from YES BANK over after complying with clause'd 'below.
- (c) We will ensure that sufficient balance will be maintained in the said account for meeting the dues.
- (d) I / We will provide fresh authorisation / instruction for claiming YES BANK dues from the new Bank Account in the event of our closing this Bank Account. I / We will provide fresh authorisation to YES BANK atleast one month prior to our closing the Account.

15. I / We have agreed to YES BANK accepting any facsimile (fax) instructions, I / We confirm that YES BANK as DP shall not be liable for any losses or damages which I / We may suffer as a consequence of YES BANK as DP acting in accordance with or in reliance upon, any fax instructions. I / We hereby agree that I / We shall indemnify the DP and keep YES BANK as DP indemnified and saved harmless, at all times against any claims, losses, damages, in connection with or arising out of or in relation to any fax submission.
16. I / We further confirm that the above confirmation are in addition to the Rights & Obligation document and confirmations given by me / us in the account opening form by me / us for opening the DP account.
17. I / We hereby agree and confirm that any matter or issue arising under these presents or this Letter of Confirmation shall be governed by Indian laws and shall be subject to jurisdiction of the courts in Mumbai, India.
18. I / We agree and undertake to execute such other documents and furnish such other information / document(s) as we may be called upon by YES BANK from time to time.

In confirmation of the above:

 X _____ Sole/First Account Holder (First Signatory)
  X _____ Sole/First Account Holder (Second Signatory)
  X _____ Sole/First Account Holder (Third Signatory)

Date:

Place:

To,

YES Securities (India) Limited, Mumbai

Dear Sir / Madam,

(I) Authorisation to maintain account on running account basis Yes No

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 above, I/We authorize you to retain at the time of settlement, entire pay-in obligation of funds outstanding at the end of day on date of settlement, across all segments and exchanges. Apart from margin liability as on the date of settlement, in all segments and exchanges, additional margins (maximum up-to 125% of margin requirement on the day of settlement), i.e. 225% of the total Margin requirement after excluding the margin on consolidated crystallized obligation, where applicable. Howsoever 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. Further, 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 lying to my/our credit within 1 (one) working day of a written request, 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

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) Consent to receive Transactional, Service, Commercial calls and / or SMS Yes No

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.



Signature of Client



(IV) Receiving electronic contract notes and statements through email Yes No

I / We understand that I / we have the option to receive the contract notes, bills, statement of funds, 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 other 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.

(V) Receipt of instructions in electronic / telephone mode: Yes No

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.

(VI) Mutual Fund Service System (MFSS) | BSE Star Mutual Fund (collectively referred to as Mutual Fund Transaction Facilities) Yes No

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 / Commodity 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 authorisations provided to YES Securities (India) Limited

(VII) Consent to receive Transactional, Service, Commercial communication over Whatsapp Yes No

I / We agree to receive various products / service / sales / informational / transactional and communications of similar nature from time to time through WhatsApp Business account of YES SECURITIES or any other similar communication mode as applicable from time to time.

Client's Acknowledgement and Declaration

1. I / We shall not effect any third-party transactions.
2. I / We am / are not a Trading Member / 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 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.

Client Code: _____



Signature of Client



*The meaning of the word 'securities' mentioned in the aforesaid running account authorization shall be limited to Invoked securities under Pledge/Repledge mechanism and securities lying in EPI/CUSA/POOL of the clients.

YES Securities (India) Limited., (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. The stocks offered by YSL are duly updated on www.yesinvest.in (hereinafter referred to as website). Please note that some of the stocks & commodities such as penny scrips (stocks & commodities), scrips 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 exchange (NSE, BSE, MCX & NCDEX) releases 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 or commodity the 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 endeavour 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 Authorised Person 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 Authorised Person or branches may check their positions with the Authorised Person/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 & commodities based on certain internal risk parameters. By use of Power of Attorney given by client, YSL shall execute 'margin pledge' on Client's securities on behalf of such client to the demat account of YSL to the extent of required margin, as per the regulations of SEBI and Exchanges issued from time to time.

(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 as Brokerage Chart on page 7.

(D) Imposition of Penalty / Delayed payment charges, specifying the rate and period:

Delayed payment charges are levied to clients for nonpayment 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 or such other rates as may be communicated to the client from time to time. 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 nonpayment 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 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. 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, 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 in case shortfall still exist.
- In case of default by a client of YSL who has pledged securities with YSL, YSL shall invoke the pledge.
- In case of default by a client of YSL where the client's securities are re-pledged with the CM/ CC, the invocation request shall be made by the TM to CM and CM in turn will make request to CC as per the procedure laid down by the Depositories under their bye-laws.
- YSL reserves the right to liquidate the position as per its RMS policy as amended from time to time.

(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.

(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 or 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) YSL has the sole discretion to dis-continue the relationship. The terms and conditions as specified in the AOF are applicable.
- k) Receipt of a binding order from the regulator/authority.
- l) 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 Trading Account Policy

As per the requirements of the **NSE Circular No. NSE/INSP/43488 dated Feb 10, 2020**, and **NSE/INSP/46506 dated December 01, 2020**, and **BSE Notice no. 20200210-47 dated Feb 10, 2020**, trading accounts of clients who have been inactive should be marked as inactive trading accounts in Exchange UCC database.

As per subsequent **NSE Circular No. NSE/INSP/49743 dated Sept 27, 2021**, and **NSE/INSP/64718 dated Oct 25, 2024**, and **BSE Notice No. 20210928-53 dated Sep 28, 2021**, members are required to undertake fresh documentation, due diligence and IPV as per circular issued by regulators time to time.

The clients trading account will be considered as dormant / inactive. In case of trading account, the term inactive account refers to such account wherein any of below mentioned activities has not been carried out by client since last 24 (Twenty-Four) months:

1. Trading or participation in OFS / buy-back / Open Offer across any of the exchanges / segments* of the exchanges through YES Securities (India) Ltd. (YSIL)
or
2. Cash / Equity Derivative / Currency Derivative / Commodities Derivative / EGR / Debt / Online Bond Platform / Execution Only Platform / Any other segment as may be allowed by SEBI / stock exchanges from time to time.
or
3. Transaction in nature of applying / subscribing IPOs (where the IPO bid is successful & not cancelled) / SGBs / Mutual Funds (lumpsum investment or investments through successful SIP instalment payments) on the Mutual Fund platform of the stock exchanges through YSIL
or
4. Modification / updation of e-mail Id / Mobile Number / Address in KYC record of client through YSIL and the same has been uploaded to KRA to ensure Validated / Registered status

The inactive accounts identified based on the above criteria shall be flagged as 'Dormant / Inactive' by YSIL in UCC database of all the respective Exchanges.

If client wish to activate trading account, client is required to mandatorily comply with In-Person Verification / Video In-Person Verification (IPV/IPV) requirement, specified in the regulators (SEBI Master Circular on KYC dated October 12, 2023)

Also required to submit KRA/ CKYC form along with documents such as PAN card, Address proof and Income proof (Required for FNO trading activation), and all documents should be self - attested and verified with IPV and OSV (Original seen and verified) by YSIL employee.

Seek confirmation from the client if there is any change in clients' basic details such as Address, Mobile number, Email ID, Bank/DP account, income, etc. as registered with the YSIL. In case of changes in any of the said details, the YSIL shall seek the updated details along with the necessary documents and update in its records as well in the UCC records of the respective Exchanges. In case of KRA Validated status or Registered status through same intermediary cases, the Trading Member may fetch the details along with the necessary documents from the KRA record and display the said details for confirmation of the client and updation in its record. If there is change, then YSIL shall update the UCC records of Exchanges as well as KRA. If client has confirmed that there is no change, the Member shall maintain the verifiable logs of the same.

YSIL KYC OPS Team shall verify client status as per KRA and if the client status of KRA is not validated (i.e. "On hold"/"Rejected" through other intermediary, etc.) then the YSIL should seek necessary documents as required for KRA Validation. The documents will be uploaded to KRA to ensure validated / registered status. Post KRA Validated status, client's UCC will be reactivated at exchange portal, Back office, trading platform and permitting client to trade on the Exchanges.

Once an inactive trading account is re-activated as per the procedure prescribed as mentioned above, the computation of next 24 months for the purpose of identifying client as inactive in the subsequent period shall be considered from the date of last reactivation of trading account.

YSIL may send the communication/notification to the clients prior to flagging their trading account as inactive however such communication/notification should not ask the clients to trade to prevent their accounts from being flagged as inactive.

(I) Policy to Voluntarily Freeze /Blocking, Unfreeze/ Unblock the online access

This is in line with the SEBI Circular No. SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024, and Exchange Circular No. NSE/INSP/60277 dated January 16, 2024, "Ease of Doing Investments by Investors - Facility of voluntary freezing/ blocking of Trading Accounts by Clients"

To address suspicious activities in client accounts the Company / YSIL is providing a voluntary freezing/blocking the online access to its client account based on their specific request.

Steps to Freeze Account

The Clients can send a voluntary freezing/blocking of the online access request of their account via –

- a. Sending an email from its registered email ID to stoptrade@ysil.in with the reason thereto
- b. Can call through registered mobile no to our Customer Desk on 022-68850286 on working days between 9:00 am to 5:00 pm

Kindly note:

ONLY Upon successful verification, the request will be taken on record and the client account will be freeze in 15 minutes with a confirmation mail on the client's registered email ID and mobile no. "stating that the online access to the trading account has been frozen/blocked and all the pending orders in the client's trading account, if any, have been cancelled along with the process of re-enablement for getting the online access to the trading account."

Details of all open positions (if any) along with contract specifications will be communicated to the client within one hour of the freezing/blocking of the trading account.

Impact on Freezing Account

1. Fresh Online order placement, Investment Related Trades, SIP, and IPO applications will not be permitted while the account is freeze
2. All open order(s) will be CANCELLED
3. Online Profile updation or any modifications will be disallowed

Kindly Note:

Freezing/blocking is only for online access to the client's trading account, and there shall be no restrictions on the Risk Management activities of the Trading Member.

Steps to Unfreeze Account

Re-enabling the client for online access to the trading account: -

The Client can send a Re-enabling online access request of their trading account via –

- a. Sending an email from its registered email ID to stoptrade@ysil.in to re-enabling their trading account
- b. Can call through registered mobile no to our Customer Desk on 022-68850286 on working days between 9:00 am to 5:00 pm

Kindly Note:

The company / YSIL will re-enable the online access of the client trading account within one day from the date of request received after carrying out necessary due diligence including validating the client request and unfreezing / unblocking the online access of the trading account.

(J) Guidelines on Margin collection & reporting

In case if there is a margin shortfall in the clients account due below reasons, the penalty levied by regulators for such shortfalls will be passed on to the clients.

- i) Cheque issued by client to member is dishonored.
- ii) Increase in margins* on account of change in hedge position by client / expiry of some leg(s) of the hedge positions of the clients
- iii) Other margins such as consolidated crystallized obligation, Delivery margins, Mark-to-market & additional margins etc

We request you to maintain sufficient balance in your trading account. All provided margins will have to be in form of clear funds or clear credit ledger entry against any deposited cheque or SSL approved pledged stocks provided as collateral. Any unrealized funds will not be considered.

*There can be higher margin obligations on the open positions due to the following reason but not limited to:

- a. Square off of 1 leg resulting to break of hedge position.
- b. Expiry of one or more leg(s) of the hedge open position on expiry day



Signature of Client



For Office Use Only:

Cust ID:

Account No.

Customer Details

(Please mention NA wherever deem fit / Please add additional sheet wherever required in bank's format only)

Date:

Name of Entity

Residence Address for Tax Purpose (✓ Tick against one which is applicable)

Same as the address mentioned in Application form provided for Bank Record	Type of the provided address(✓ Tick against one which is applicable)
<input type="checkbox"/> Mailing Address <input type="checkbox"/> Registered Address <input type="checkbox"/> Other (Provide detailed address below)	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office
If Others provide your Residence Address for Tax Purpose in detail here	
<input type="text"/>	
CITY	
STATE	<input type="text"/>
COUNTRY	PIN/ZIP <input type="text"/>

For entities other than sole proprietor please fill Part B of this declaration on page 2

Part A: In case of Sole Proprietorship Entities

I was born in a country other than India NO Yes¹

I am citizen / national / tax resident of any country outside India NO Yes¹

1 If yes, for the above, please furnish details for section A, B & C:

Section A: Details of the proprietor

Name	<input type="text"/>
City of Birth	<input type="text"/>
Country of Birth	<input type="text"/>
Nationality	<input type="text"/>
Father's Namee	<input type="text"/>

#(If PAN Card is not provided as an identity document of the proprietor)

Section B: Tax Residence Declaration

Please indicate ALL the country/countries in which the proprietor is a resident for tax purposes and the associated Tax ID Number below:

Country'	Tax Identification Numbers(TIN)^	Identification Type^ (TIN or Other, please specify)

* To also include USA, where the individual is a citizen or a Green Card holder of USA

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

Section C: Identification (document submitted as proof of identity of the individual; tick whichever is applicable)

Passport Voters ID Card PAN Card Govt. ID card Driving License Aadhaar Card NREGA Job Card Others, Please specify _____

Identification Number

I have understood the information requirements of this Form (read along with the Instructions) and hereby confirm that the information provided by me on this Form is true, correct, and complete. In case of any changes, I will inform the Bank within 30 days. I also confirm that I have read and understood the Terms and Conditions and hereby accept the same.

Name Of Proprietor

Signature and Stamp

Part B: In case of Entities other than Sole Proprietorship (Section A &B)

SECTION A:

If company is a publicly traded company, then please enter name(s) of the stock exchange(s) where it is listed:

_____ AND/OR _____

If the captioned entity is a related entity of a publicly traded company, then please enter name of the listed company, _____ and name(s) of name(s) of stock exchange(s) where it is listed: _____

Nature of Relation Subsidiary of listed company Controlled by a listed company

SECTION B: (Response to all six particular/questions is mandatory)

- | Particulars | <input type="checkbox"/> Yes ² | <input type="checkbox"/> No |
|--|---|-----------------------------|
| 1 Does the entity have any income which is taxable outside India? | <input type="checkbox"/> Yes ² | <input type="checkbox"/> No |
| 2 Is the entity tax resident in any country/countries outside India? | <input type="checkbox"/> Yes ² | <input type="checkbox"/> No |
| 3 Are you a financial institution? | <input type="checkbox"/> Yes ² | <input type="checkbox"/> No |
| 4 Does the entity have any beneficiary ^A (direct or indirect) or controlling ^A person who is citizen / national / tax resident of or born in, any country outside India? | <input type="checkbox"/> Yes ² | <input type="checkbox"/> No |
| 5 Does the entity have a legal presence/incorporated outside India? | <input type="checkbox"/> Yes ² | <input type="checkbox"/> No |
| 6 Is the entity a passive NFE ^E ? | <input type="checkbox"/> Yes ² | <input type="checkbox"/> No |

2 If yes² for any one of the above fields/particulars, separate FATCA/CRS Annexure to be filled up. Otherwise, Beneficial ownership details as per the constitution & bank's format, if applicable, to be provided.

I have understood the information requirements of this Form (read along with the FATCA-CRS Instructions) and hereby confirm that the information provided by me on this Form is true, correct, and complete. In case of any changes, I will inform the Bank within 30 days.

Name of the Authorized Signatory*

Signature of the Authorized Signatory*

* Authorized signatory means:

- i) Company Secretary or Director or any person authorized as per the resolution of board to sign on any documents/declaration related to account opening
- ii) Partner or designated partner or any person as authorized as per resolution/letter mentioned on Partnership/LLP declaration to sign on any documents/declaration related to account opening
- iii) Chairperson or secretary or any person as authorized as per resolution/ declaration to sign on any documents/declaration related to TASC account opening
- iv) Any person as authorized as per resolution/ declaratio/ letter to sign on any documents/declaration related to account opening for other entities.

YES BANK has the discretion to reject the application of a/c opening in case it finds any discrepancy in above declaration either with internal or external sources.

Terms And Conditions

- The Central Board of Direct Taxes has notified Rules 114(F) to 114(H), as part of the Income-tax Rules, 1962, which require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/ appointed agencies. We may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto.
- Should there be any change in any information provided by you, please ensure you advise its promptly, i.e., within 30 days.
- Please note that you may receive more than one request for information if you have multiple relationships with YES BANK Ltd. or its group entities. Therefore, it is important that you respond to our request; even if you believe you have already supplied any previously requested information

Instructions- Sole Proprietor

- If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or Green Card holder, please include United States in the foreign country information field along with your US Tax Identification Number.
- In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below

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

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

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

^FGovernment or agency thereof or a municipality of the country or territory in which the payee claims to be a resident

Intentionally Left Blank

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.
13. The stock broker / stock broker and depository participant shall not directly / indirectly compel the clients to execute Power of Attorney (PoA) or Demat Debit and Pledge Instruction (DDPI) or deny services to the client if the client refuses to execute PoA or DDPI.

Statement of account

14. 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.
15. 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.
16. 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.
17. 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

18. 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.
19. 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

20. 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.
21. 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

22. 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

23. 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.
24. 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

25. 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

26. 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 thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

27. 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.
28. 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 Byelaws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
29. 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.
30. 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
31. 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.
32. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant 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 FOR RESIDENTS, GLOBAL INDIANS & HUFs

Charge	Type	Resident Individual	Global Indian Banking (Non Resident)	Corporate/HUF	Basic Services Demat Account (BSDA)
A/C opening Charges		Nil			Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)
Annual Maintenance Charges(AMC)*		₹ 500	₹ 1000	₹ 500	Up to INR 4 lakh
					More than INR 4 lakhs but up to INR 10 lakhs
					More than INR 10 lakh
Credit Transaction (Buy : Market & Off Market)					Maximum Annual Maintenance Charges
Debit Transaction (Market, Off Market, Inter- depository)	% of transaction value of each ISIN	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	0.04% (Min ₹ 20)	Nil
Dematerialization	Per Request Form	₹ 30	₹ 30	₹ 30	INR 100
	Per Certificate	₹ 2	₹ 2	₹ 2	Not a BSDA. Regular AMC may be levied.
Rematerialisation	Per request form	₹ 20	₹ 20	₹ 20	
Closure of Account					Nil
Pledge	Creation/Closure/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)
NDU	% of transaction value of each ISIN	0.02% (Min ₹30/-; Max ₹50,000)	0.02% (Min ₹30/-; Max ₹ 50,000)	0.02% (Min ₹30/-; Max ₹ 50,000)	0.02% (Min ₹ 30/-; Max ₹ 50,000)
Margin Pledge Initiation / Release / Invocation		Rs. 10	Rs. 10	Rs. 10	Rs. 10

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

NSDL /CDSL charges are chargeable extra at actuals. Present NSDL and CDSL charges are		
Type	NSDL	CDSL
Sell: Market and Off Market & Inter-depository	₹ 5.00 per debit instruction	₹ 5.5 per debit instruction
Rematerialisation	a) Fees of ₹ 10 for every hundred securities or part thereof subject to maximum fees of ₹ 5,00,000; or b) A flat fee of ₹ 10 per certificate, whichever is higher	a) Fees of ₹10 for every hundred securities or part thereof subject to maximum fees 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	₹ 5.50 per instruction
Redemption of MF units through Participants	₹ 5.00 per instruction	₹ 5.50 per instruction
Pledge Creation	₹ 25 per instruction	₹ 12 per instruction
Pledge Closure	NIL	₹ 12 per instruction
NDU	0.01% of the transaction value subject to a minimum of ₹25 per transaction	0.01% of the transaction value subject to a minimum of ₹24 per transaction

Terms and Conditions

(1.) All the above charges are exclusive of NSDL / CDSL Charges and will be charged at actuals (2.) NSDL / CDSL charges are available on YES Bank website. Kindly visit <https://www.yesbank.in/personal-banking/yes-individual/wealth-management/demat-account> (3.) The value of shares and charges are calculated as per NSDL /CDSL formula and rates (4.) The depository services are liable to discontinuation if YES BANK is unable to recover charges from the customer, for any reason whatsoever. (5.) Any service that is not indicated above will be charged separately as per the rates applicable from time to time. (6.) 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. (7.) 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. (8.) Government levies /Taxes chargeable extra as per applicable rates. (9.) Transaction charges will be payable monthly. (10.) 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/CDSL. The AMC will be calculated at pro rata basis based on the value of holding of securities in the demat account. (11.) 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. (12.) Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit instructions. (13.) Operating instructions of the joint accounts must be signed by all the holders. (14.) All instructions for transfer must be received at the designated DP servicing branches of the YES BANK at least 24 hours before the execution.

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.

Notes for BSDA account

1. For BSDA account, the SEBI regulations of BSDA will be applicable.
2. At any point of time, if SEBI guidelines of BSDA are not fulfilled, DP reserves a right to the convert the account to regular Demat account without any prior intimation.
3. Your account will be opened as BSDA account. In case you want to convert BSDA as regular Demat account, please visit to nearest YES bank branch or contact your RM and inform suitably via your registered email Id

Acknowledgement

Registered office - YES BANK House, Off Western Express Highway, 2nd Floor, North Side, Santacruz East, Mumbai – 400 055.
Correspondence address - YES Securities (India) Limited, AFL House, 4th Floor, Lok Bharti Complex, Marol Maroshi Road, Andheri (E), Mumbai – 400 059.

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:

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

Participant Stamp & Signature

Dear Customer,

Greetings from YES SECURITIES!

This is in reference to SEBI circular no.: SEBI/MRD/SE/Cir.42/2003 dated 19/11/2003 on the captioned subject.

Any stock broker carrying out Proprietary (PROP) trading in its account besides carrying out trades for and on behalf of its clients is required to inform its clients about the same.

In view of above, we would like to inform you that YES SECURITIES is intending to carryout Proprietary trading w.e.f. June 15, 2020 in its own account. Further, the Company shall also be disseminating the same on its website www.yesinvest.in

This communication is only for your information purpose and does not impact your trading account in any way.

Sincerely,
YES Securities (India) Limited

www.yesinvest.in

E-Mail: customer.service@ysil.in

YES Securities (India) Limited Registered Address: 2nd Floor, North Side, YES BANK House, Off Western Express Highway, Santacruz East, Mumbai - 400055. Maharashtra, India | Correspondence Add: 4th Floor, AFL House, Lok Bharti Complex, Marol Maroshi Road, Andheri East, Mumbai - 400059 | Website: www.yesinvest.in | Email ID: customer.service@ysil.in/igc@ysil.in Registration Nos.: CIN: U74992MH2013PLC240971 | SEBI Registration No.: NSE, BSE, MCX & NCDEX : INZ000185632 | Member Code: BSE – 6538, NSE – 14914, MCX – 56355 & NCDEX - 1289 | CDSL & NSDL: IN-DP-653-2021 | MERCHANT BANKER: INM000012227 | RESEARCH ANALYST: INH000002376 | INVESTMENT ADVISER: INA000007331 | Sponsor and Investment Manager to YSL Alternates Alpha Plus Fund (Cat III AIF) SEBI Registration No.: IN/AIF3/20-21/0818 | AMFI ARN Code – 94338 | Details of Compliance Officer: Aditya Goenka: Email id: compliance@ysil.in / Contact No: 022-65078127. Disclaimer: Investment in securities market are subject to market risks, read all the related documents carefully before investing. Brokerage will not exceed the SEBI /Exchanges prescribed limit.

To,
YES Securities (India) Limited,
AFL House, 4th Floor,
Lok Bharti Complex,
Marol Maroshi Road,
Andheri (E), Mumbai – 400 059.

Sub: Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts)

As per regulatory requirement, I/we acknowledge the standard Most Important Terms and Conditions as mentioned below.

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

Yours Faithfully,

Name of the client: _____

Date:

Place:

 (27)  Signature of Client

Policy on Handling of Good Till Cancelled Orders of the Clients

SEBI vide Circular No. 40/2024, NSE/INSP/62528 dated June 21, 2024), has prescribed framework for Trading Members to provide policy for GTD (Good Till Date)/GTC (Good Till Cancel) and GTT (Good Till Trigger) or any similar kind of trades

Details of GTDt Order and Validity

- GTDt order facility allows users to buy or sell a share, index future & index options at a specified price till a pre-defined validity date.
- In this facility, the user gets to set the order validity date (with a maximum validity of 30 days or expiry of the contract whichever is earlier).
- This order will remain in effect until executed, expired, or cancelled till the validity date or contract expiry date whichever is earlier.
- Users can place orders at a specified price and quantity for stocks, index futures & index options.
- The price range of the GTDt order should be within the limit prescribed by the exchange on the given day.
- GTDt orders will be allowed for Limit condition, Market order will not be allowed.
- Once the order is placed successfully it will be displayed in the order book
- The user will be able to modify/cancel the GTDt order from the order book as per the user's requirement by selecting the GTDt order which the User has placed.
- The order will be pumped to exchange every day till one of the following events occurs.
 - ◆ Order gets fully executed
 - ◆ Validity of the order expires
 - ◆ Customer cancels order
- Order will be active in the system till the date which user has selected.
- Funds/Securities for the order will be blocked daily till the order is valid/order gets executed.
- In case of corporate action, the order is not changed, modified, or adjusted as per the said corporate action. The order is retained as it was, when the user had placed the order till validity/contract expiry / executed / cancelled by the user as the case may be
- Corporate actions will be intimated to the clients NOT later than 1 day prior of the EX-Date of the Corporate action
- Intimation to the clients will be done via email and/or SMS

KNOW YOUR CLIENT (KYC) FORM For Non-Individuals

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted
10. 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.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government /judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. 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).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following:

Central/State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICVVAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): List of documents admissible as Proof of Address: ('Documents having an expiry date should be valid on the date of Submission.)

1. Passport/Voters Identity Card/Ration Card/ Registered Lease or Sale Agreement of Residence/Driving License/ Fiat Maintenance bill/Insurance Copy.

2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook- Not more than 2 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/ sub account, Power of Attorney given by FII/ sub account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse maybe accepted.

D. Exemptions/clarifications to PAN

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

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, Mfs, VCFs, FVCI's, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

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

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

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

Types of entity	Documentary Requirements
Corporate	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Copy of latest share holding pattern including list of all those holding control, either. • Directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). • Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. • Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. • Copies of the Memorandum and Articles of Association and certificate of incorporation. • Copy of the Board Resolution for investment in securities market. • Authorised signatories list with specimen signatures. • If shareholding Pattern more than 15% then UBO KYC is require.
Partnership Firm	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered partnership firms only). • Copy of partnership deed. • Authorised signatories list with specimen signatures. • Photograph, POI, POA, PAN of Partners
Trust	<ul style="list-style-type: none"> • Copy of the balance sheets for the last 2 financial years (to be submitted every year). • Certificate of registration (for registered trust only). • Copy of Trust deed. • List of trustees certified by managing trustees/CA. • Photograph, POI, POA, PAN of Trustees.
HUF	<ul style="list-style-type: none"> • PAN of HUF. • Deed of declaration of HUF/ List of coparceners. • Bank pass-book/bank statement in the name of HUF. • Photograph, POI, POA, PAN of Karta.
Unincorporated association or a body of individuals	<ul style="list-style-type: none"> • Proof of Existence/Constitution document. • Resolution of the managing body & Power of Attorney granted to transact business on its behalf. • Authorized signatories list with specimen signatures.
Banks/Institutional Investors	<ul style="list-style-type: none"> • Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. • Authorized signatories list with specimen signatures.
Foreign Institutional Investor (FII)	<ul style="list-style-type: none"> • Copy of SEBI registration certificate. • Authorized signatories list with specimen signatures.
Army/ Government Bodies	<ul style="list-style-type: none"> • Self-certification on letterhead. • Authorized signatories list with specimen signatures.
Registered Society	<ul style="list-style-type: none"> • Copy of Registration Certificate under Societies Registration Act. • List of Managing Committee members. • Committee resolution for persons authorised to act as authorised signatories with specimen signatures. • True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

*** All documents should be self-attested and verify with original (IPV).**

important:

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

INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do 'in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
 - a. Form need to be initialized by all the authorized signatories.
 - b. 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 signatures.

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:
 _____
Authorised Signatory

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 _____

Do not forget to take your acknowledgment copy.

ACKNOWLEDGE

1. YES Securities (India) Ltd. Tariff Sheet (Part A - Page No. 9, 23)
2. Rights & Obligation Document (Part B - Page No. 2-5 & 18-25)
3. Risk Disclosure Document (Part B - Page No. 6-8 & 26-30)
4. Guidance note (Part B - Page No. 9-10 & 31-32)
5. Policies and Procedures (Part B - Page No. 11-13 & 33-37)
6. Voluntary Clauses (additional clauses other than specified by SEBI.) (Part C - Page No. 38-62)
7. Right and Obligations of Beneficial Owner and Depository (Part D Page No.66-68)
8. Investor Charter Stock Broker (Part B - Page no. 14-17)
9. Investor Charter Depository Participant (Part D - Page no. 69-74)

Client's Signature:

 _____ 

Client Name:

CUSTOMER PROFILE ANNEXURE FOR NON-INDIVIDUALS ENTITIES

(To be filled by applicant only)



(Fields marked as '**' are Mandatory)

Customer ID :	<input type="text"/>	Account Number :	<input type="text"/>
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Account Title (as per entity proof document)

CUSTOMER CATEGORY (Customer Type/ Nature of Industry)*

CUSTOMER TYPE: Section I: Constitution*

<input type="radio"/> HUF	<input type="radio"/> Partnership Firm	<input type="radio"/> Limited Liability Partnership
<input type="radio"/> Public Ltd Company#	<input type="radio"/> Private Ltd Company	<input type="radio"/> One Person Company (OPC)
<input type="radio"/> Trust (Move to Section II D)	<input type="radio"/> Sec 25 / Sec 8 Companies	<input type="radio"/> Statutory Corporation (Formed under the act of Parliament/Assembly)
<input type="radio"/> Society (Move to Section II D)	<input type="radio"/> Association (Move to Section III)	Other _____

#In case of Public Ltd company, confirm whether Public Sector Undertaking – Yes No

Please confirm if the entity is any one of the following: (If **Not applicable**, Please move to Section III)

<input type="radio"/> Financial Institutions (includes Foreign Banks) —>	<u>Move to Section II A</u>
<input type="radio"/> Government Departments —>	<u>Move to Section II B</u>
<input type="radio"/> Foreign Entities/Bodies (except Foreign Banks) —>	<u>Move to Section II C</u>
<input type="radio"/> Co-operative Credit Societies —>	<u>Move to Section III - Nature of Business & Nature of Industry</u>

Section II

A. Financial Institutions including Foreign Banks (select any one)

<input type="radio"/> Indian Commercial Banks	<input type="radio"/> Co-operative Banks	<input type="radio"/> Foreign Banks	<input type="radio"/> Mutual Fund companies
<input type="radio"/> Term Lending Institutions	<input type="radio"/> Provident Fund Institutions	<input type="radio"/> Unit Trust of India	<input type="radio"/> Housing Finance Co.
<input type="radio"/> NBFC (Asset Size of 500 Cr and above)	<input type="radio"/> NBFC (Asset Size of less than 500 Cr)		
<input type="radio"/> Exchange Houses	<input type="radio"/> LIC	<input type="radio"/> Insurance Corporation/companies (other than LIC)	
<input type="radio"/> Others (pls specify)	<input type="text"/>		

B. Government Departments (select any one)

<input type="radio"/> Central Government	<input type="radio"/> State Electricity Board	<input type="radio"/> State Government	<input type="radio"/> Defense Establishments
<input type="radio"/> Government Owned Companies	<input type="radio"/> Government Department	<input type="radio"/> Statutory Corporation / Bodies	
<input type="radio"/> Local Authorities	<input type="radio"/> Regulators	<input type="radio"/> Quasi Government Bodies	<input type="radio"/> Non-Departmental Commercial Undertakings

C. Foreign Entities/bodies, other than Foreign Banks (select any one)

<input type="radio"/> Foreign Government	<input type="radio"/> Branch Office	<input type="radio"/> Consulates/Embassies	<input type="radio"/> Project Office	<input type="radio"/> Offshore Corporation
<input type="radio"/> Liaison Office	Other Foreign Entities/Bodies (pls specify) <input type="text"/>			

D. Trust/Societies (select any one)

<input type="radio"/> Public Charitable Trust	<input type="radio"/> Joint Liability Groups	<input type="radio"/> Religious Institutions/Trust	<input type="radio"/> Self-Help group
<input type="radio"/> Private/Family/Trust by will	<input type="radio"/> NGO/Welfare Organizations	<input type="radio"/> Educational Institutions/Trust	<input type="radio"/> Housing Societies
<input type="radio"/> Super Annuation Trust	<input type="radio"/> Non-credit co-operative societies	<input type="radio"/> Provident Fund/Gratuity/Group Gratuity Trust	

Mandatory: Is the Trust/Society also a Non Profit Organization Yes No

Section III: Nature of Business

<input type="radio"/> Retail Shops	<input type="radio"/> Retail Trading	<input type="radio"/> Wholesale/Distributor/C&F Agency	<input type="radio"/> Manufacturing	<input type="radio"/> Services
<input type="radio"/> Job work	<input type="radio"/> Commission Agency	<input type="radio"/> Contractual Work	<input type="radio"/> Broking	

CUSTOMER PROFILE ANNEXURE FOR NON-INDIVIDUALS ENTITIES

(To be filled by applicant only)



(Fields marked as '**' are Mandatory)

Nature of Industry*

A			
<input type="radio"/> Agri Commodities	<input type="radio"/> Arms/Antique/Art Dealer/Explosives	<input type="radio"/> Auto Ancillaries	
<input type="radio"/> Auto Dealers (New vehicles / motor-cycles)	<input type="radio"/> Automobiles	<input type="radio"/> Airlines/ Airports	
<input type="radio"/> Auction House	<input type="radio"/> Advertising	<input type="radio"/> Architecture firm	<input type="radio"/> Auto Mechanics
<input type="radio"/> Attorneys (Immigration)	<input type="radio"/> Auto Finance Companies	<input type="radio"/> Artificial Jewellery	
B			
<input type="radio"/> Bakery/Confectionery	<input type="radio"/> Casino/Night Club/Betting	<input type="radio"/> Boat/Plane Dealership/Brokers	
<input type="radio"/> Book/Stationery Store	<input type="radio"/> Bullion Dealer	<input type="radio"/> BPO	<input type="radio"/> Bitcoin/Virtual Currencies
<input type="radio"/> Beauty Parlour			
C			
<input type="radio"/> Cement/Paints	<input type="radio"/> Chemical/Dyes	<input type="radio"/> CA/Audit firm	<input type="radio"/> C & F agents
<input type="radio"/> Catering	<input type="radio"/> Call Centre	<input type="radio"/> Consultancy firm	<input type="radio"/> Consumer Durables
<input type="radio"/> Construction	<input type="radio"/> Commodity Broker	<input type="radio"/> Chit Funds	<input type="radio"/> Chemist
<input type="radio"/> Cost Accountant Firm	<input type="radio"/> CS Firm		
D			
<input type="radio"/> Dairy/Poultry	<input type="radio"/> Departmental/Grocery Store	<input type="radio"/> Diagnostic/Research Centre	<input type="radio"/> DTP Operators
E			
<input type="radio"/> Electronics & Equipment's	<input type="radio"/> Electrical Components/Items	<input type="radio"/> Engineering goods	<input type="radio"/> Event Management
<input type="radio"/> Education	<input type="radio"/> Edible Oils	<input type="radio"/> Engineering, Procurement & Construction	
<input type="radio"/> Estate Agents			
F			
<input type="radio"/> Fisheries	<input type="radio"/> Food & Beverages	<input type="radio"/> FMCG	<input type="radio"/> Forex Dealer
<input type="radio"/> Furniture/Timber	<input type="radio"/> Fertilizers/Seeds/Pesticides	<input type="radio"/> Facilities Management	<input type="radio"/> Facilities Maintenance
<input type="radio"/> Fast Food	<input type="radio"/> Film Production/Distribution House	<input type="radio"/> Footwear	<input type="radio"/> Fast Food
G			
<input type="radio"/> Gems & Jewellery	<input type="radio"/> Guest house/Service Apt	<input type="radio"/> Garment Store	<input type="radio"/> Gambling/Gaming Business
<input type="radio"/> Garage Services			
H			
<input type="radio"/> Hospitality	<input type="radio"/> Hospitals/ Healthcare	<input type="radio"/> Health Clubs/Gymnasium	<input type="radio"/> Housing Finance
<input type="radio"/> Hotels/Resorts	<input type="radio"/> Handicrafts	<input type="radio"/> Housing Finance Companies	<input type="radio"/> Hardware
I			
<input type="radio"/> IT Consulting	<input type="radio"/> Iron & Steel	<input type="radio"/> IT Service Provider	<input type="radio"/> IT Hardware
<input type="radio"/> Internet Cafe	<input type="radio"/> Internet Service Provider	<input type="radio"/> Investment Management (Personal)	
<input type="radio"/> Import/Export (Not used for own Manufacturing and Retailing)			
L			
<input type="radio"/> Labour Supply	<input type="radio"/> Logistics	<input type="radio"/> Luxury & Lifestyle	<input type="radio"/> Life science
<input type="radio"/> Lottery	<input type="radio"/> Law firm	<input type="radio"/> Liquor/Standalone Wine Shop (Excluding Licensed Bar)	
M			
<input type="radio"/> Media/Entertainment	<input type="radio"/> Money changer	<input type="radio"/> Money lenders	<input type="radio"/> Multi level Marketing
<input type="radio"/> Marble/Granite	<input type="radio"/> Money Transfer/Agents	<input type="radio"/> Mining/Metal & Metal Products	<input type="radio"/> Movie Theatres
<input type="radio"/> Manpower Supply	<input type="radio"/> Meat	<input type="radio"/> Money Management	
N			
<input type="radio"/> Notary	<input type="radio"/> Nursing Homes/Clinics	<input type="radio"/> Nutrition	
O			
<input type="radio"/> Online Marketers/E-wallet	<input type="radio"/> Online Lotteries	<input type="radio"/> Online Aggregators	
P			
<input type="radio"/> Petrol Pump	<input type="radio"/> Petroleum Oil & Gas	<input type="radio"/> Pharmaceuticals	<input type="radio"/> Plastic & Allied Products
<input type="radio"/> Printing/Publishing	<input type="radio"/> Personal care & Toiletries	<input type="radio"/> Personal Investment Co.	<input type="radio"/> Precious Metal
<input type="radio"/> Paper & Paper products	<input type="radio"/> Power & Power distribution	<input type="radio"/> Precious Metal dealers	<input type="radio"/> Pet Accessories
R			
<input type="radio"/> Realty & Infrastructure	<input type="radio"/> Roads & Ports	<input type="radio"/> Real estate - Builder	<input type="radio"/> Real estate agent
<input type="radio"/> Restaurant & Bar	<input type="radio"/> Retail Jewellery	<input type="radio"/> Remittance Houses	

CUSTOMER PROFILE ANNEXURE FOR NON-INDIVIDUALS ENTITIES

(To be filled by applicant only)



(Fields marked as '*' are Mandatory)

S			
<input type="radio"/> Scrap Metal Dealers	<input type="radio"/> Shipping	<input type="radio"/> Steel/Hardware	<input type="radio"/> Share/Stock Broker
<input type="radio"/> Share/Stock Broking firm	<input type="radio"/> Software Consultant	<input type="radio"/> Social Media Marketing	<input type="radio"/> Secretarial Firms
<input type="radio"/> Shelter Services			
T			
<input type="radio"/> Transportation/Logistics	<input type="radio"/> Textiles/Garments	<input type="radio"/> Travel/Tour Agency	<input type="radio"/> Term lending institution
<input type="radio"/> Telecom Service Provider	<input type="radio"/> Telecom Equipment	<input type="radio"/> Ticketing agency	<input type="radio"/> Tour Operators
<input type="radio"/> Transport/Fleet Operators	<input type="radio"/> Travel & Tourism	<input type="radio"/> Telemarketers	<input type="radio"/> Tax Firm
U			
<input type="radio"/> Used Auto Dealers (Used / Reconditioned vehicles: including motor cycle)			
V			
<input type="radio"/> Venture Capital			
<input type="radio"/> Others (pls specify) <input type="text"/>			

CUSTOMER PROFILING INFORMATION

SOURCE OF FUNDS – Mandatory for commercial entities (multiple options may be shaded)

<input type="radio"/> Rent	<input type="radio"/> Sales Proceeds	<input type="radio"/> Capital Contribution	<input type="radio"/> Income from Investments	<input type="radio"/> Investment Received
<input type="radio"/> Dividends	<input type="radio"/> Incentives	<input type="radio"/> Commissions	<input type="radio"/> Grants	<input type="radio"/> Donations
<input type="radio"/> Fees	<input type="radio"/> Subscription	<input type="radio"/> Loans & Advances	<input type="radio"/> Reimbursement	<input type="radio"/> Consultancy Income
<input type="radio"/> Professional Fees	<input type="radio"/> Membership fees	<input type="radio"/> Job Work Charges	<input type="radio"/> Gift	<input type="radio"/> Ancestral Property
<input type="radio"/> Prize Money				

BUSINESS ASSESSMENT DETAILS:*

Locality of Office*: Commercial Residential Residential-cum-Commercial
 Industrial Estate Slum Chawl
 Others (pls specify)

Type of Office*: Commercial Shop Factory
 Production Outfit Small Production Unit Workshop
 Residence Business Centre
 Others (pls specify)

Business Premise*: Owned Rented Co-working space

FUNDS/TURNOVER DETAILS:*

Annual Gross Turnover for Entities/Annual Gross Revenue for TASC

< 1 cr >= 1 cr - < 3 cr >= 3 cr - < 5 cr >= 5 crs - < 15 crs >= 15 crs - < 50 crs >= 50 - < 75 crs
 >= 75 - < 100 crs >= 100 - < 200 crs >= 2 00 - < 250 crs => 250 crs

TERMS & CONDITIONS*

I hereby further declare and confirm that as risk categorization of my account is done basis the details furnished by me, in the event, any of the above information is found to be false or un-true or mis-leading or mis-representing, YES Securities (India) Limited (YSL) reserves right to take necessary action including but not limited to freezing my/our account.

I/We will/shall inform YSL for any change in Signatory/Signatories mentioned for existing YSL records

Date

Place

Signature / Thumb impression of Authorized Signatory

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

Important Instructions:

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

For office use only

Application Type* New Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

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

Name

Entity Constitution Type* Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* Date of Commencement of Business

Place of Incorporation / Formation* Country of Incorporation / Formation*

TIN or Equivalent Issuing Country PAN*

TIN / GST Registration Number

2. PROOF OF INDENTITY (Poi) (Please refer in instruction B at the end)

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

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

3.1. Registered Office Address / Place of Business*

Proof of Address* Certificate of Incorporation / Formation Registration Certificate Other Document

City / Town / Village* District*

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

3.2. Local Address in India (If different from Above)*

City / Town / Village* District* State / U.T. Code*

PIN / Post Code* ISO 3166 Country Code*

4. NUMBER OF RELATED PERSONS* (Please refer in instruction E at the end)

5. APPLICANT DECLARATION (Please refer in instruction G at the end)

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

Signature/Thumb Impression of Authorized Person(s)

Date: Place:

6. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies Equivalent e-document

KYC VERIFICATION CARRIED OUT BY

Identity verification Done Date

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

Employee Signature

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

- A Clarification /Guidelines for filling Entity Details section**
- 1 Entity Constitution Type

A - Sole Proprietorship	H- Trust	O - Ariti cal Jurisdical Person
B - Partnership Firm	I - Liquidator	P - International Organisation or Agency / Foreign Embassy or Consular Of ce etc
C - HUF	J - Limited Liability Partnership	Q - Not Categorized
D - Private Limited Company	K - Arti cal Liability Partnership	R - Others
E - Public Limited Company	L - Public Sector Banks	S - Foreign Portfolio Investors
F - Society	M - Central/state Government	
G - Association of Persons (AOP) / Department or Agency		
Body of Individuals (BOI) (Companies Act, 2013)	N - Section 8 Compaines	
 - 2 In case of companies and partnerships, PAN of the entity is mandatory.
- B Clarification / Guidelines for filling 'Proof of identity[PoI]' section**
- 1 Activity Proof - 1 and Activity Proof - 2 are applicable for accounts in case of proprietorship firms. Please refer to relevant instruction issued by the Reserve Bank of India in this regard.
 - 2 Please refer to the relevant instruction issued by the regulator regarding aplicable documents for the legal entity
 - 3 Certified copy of the document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
 - 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
 - 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
 - 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as speci ed by the concerned regulator from time to time.
- C Clarification / Guidelines for filling 'Proof ofAddress [PoA]' section**
- 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - 2 Certified copy of document or equivalent e-document to be submitted.

D Clarification / Guidelines for filling 'Contact Details' Section

- 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

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

1 Personal Details

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

2 Proof of Address [PoA]

- PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, identity information available in the Central Identities Data Repository
- 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
 - 4 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.

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

List of two digit state / U.T codes as per Indian Motor Vehicle Act, 1988

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

List of ISO 3166 two digit Country Code

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

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

Important Instructions:

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



For office use only Application Type* New Update Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update and delete request)

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

- Addition of Related Person Deletion of Related Person Update Related Person Details

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

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

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

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

	Prefix	First Name	Middle Name	Last Name
Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Nationality*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

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

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

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



Address

Line 1*

Line 2

Line 3

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

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

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

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

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

Address

Line 1*

Line 2

Line 3

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

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

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

Email ID

2. APPLICANT DECLARATION

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

Date : - - Place:

Signature /Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

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

KYC VERIFICATION CARRIED OUT BY

Date - -

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

INSTITUTION DETAILS

Name

Code

[Employee Signature]

[Institution Stamp]

Declaration for Common Mobile number / Email ID for Trading accounts of Family Members

Date : _____

To,
YES SECURITIES (India) Limited
AFL House, 4th Floor,
Lok Bharti Complex, Marol Maroshi Road,
Andheri (E), Mumbai - 400 059, Maharashtra.

Subject : Common Mobile number / Email ID for Trading accounts of Family Members

Dear Sir,

I, Mr/Ms _____ would like to confirm that the Mobile number _____ and E-mail ID _____ is registered in my name. I am enclosing self attested copy of latest paid bill for your information and record. I am your registered client having trading code as _____

I have to state that with my full knowledge I have consented to the below clients who is / are my relative/s to state my mobile number/email id in their KYCs to which I have no objection. All the transactions in their accounts are not only done as per their respective instructions but they are well conveyed by me of all the SMS/Email belonging to them which are sent by you to me on my above mobile number/email id

All these below clients also do not have any objection to the same, in consent they have also signed

Sr. No.	Client Name	Trading Code	Relation	Signature

However, in case of any further regulatory requirements, I undertake to abide upon hearing from you.

Thanking You.

Name : _____

Address : _____

Signature: _____