

KYC Type: \_\_\_\_\_  
Promo Code: \_\_\_\_\_  
Product: \_\_\_\_\_  
YSL lead ID: \_\_\_\_\_  
(For Branch use only)  
Branch Code: \_\_\_\_\_  
Branch Name: \_\_\_\_\_

Application Form No: \_\_\_\_\_  
(For Head Office use only)  
Demat Client ID: \_\_\_\_\_  
Date (DD/MM/YY): 

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

  
UCC: \_\_\_\_\_  
Risk Categorization: \_\_\_\_\_  
(For Trading Account)

Affix branch  
inward stamp  
here

FOR OFFICE USE ONLY

LG Code	_____	LG Employee Name:	_____
LC Code	_____	LC Name:	_____
AP Code	_____	AP Name:	_____

DO NOT FORGET TO TAKE YOUR ACKNOWLEDGEMENT COPY



TRADING AND DEMAT ACCOUNT OPENING FORM  
FOR RESIDENT INDIVIDUALS / NRI

PART A

YES SECURITIES (INDIA) LIMITED

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.

VER:-CDSL-KYC/JUN 2023

# ACCOUNT OPENING KIT

## 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	2,13
		B. Additional KYC details for opening Demat Account with YES Securities (India) Ltd.	PART A	7-10
		C. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	PART A	7-10
2.	Tariff sheet	Documents detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) with YES Securites (India) Ltd.	PART A	14
3.	Rights & Obligations of Beneficial Owner and Depository Participant	Document stating the Rights & Obligations of Depository Account Holder.	PART D	Separate Copy for Client
4.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, authorised person and client for trading on exchanges (including additional rights & obligations in case of internet wireless technology based trading)	PART B	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	PART B	
6.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	PART B	
7.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	PART A & B	
8.	CKYC Annexure	For Resident / Non-Resident Individuals additional mailing address / related person	PART A	2-4 & 6
9.	Investor Charter for Stock Broker	Document detailing the services provided to Investors, Rights of Investors, various activities of Stock Brokers with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism	PART B	Separate Copy for Client
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	PART D	
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	1A-3A
12.	Voluntary Authorisations and Declarations	Declarations / Authorisation from client for various purposes including maintaining account on running basis.	PART A	15-17
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 & Obligations of Margin Trading Facility (MTF)	Document stating the Rights & Obligations of Margin Trading Facility (MTF)	PART C	
Registered Office Address		YES BANK House, Off Western Express Highway, 2nd Floor, 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 <a href="mailto:customer.service@ysil.in">customer.service@ysil.in</a> or call at (022-7100 9830)				
In case you are not satisfied with the response, please contact concerned exchanges and depository.:				
BSE at <a href="mailto:is@bseindia.com">is@bseindia.com</a> ; Tel. No. 022-2272 8097 / 022-2272 1233/34,				
NSE at <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a> ; Tel No. 1800 22 0058 / 022-2659 8190,				
MCX at <a href="mailto:grievance@mcxindia.com">grievance@mcxindia.com</a> ; Tel. No. 022-6649 4070 / 022-6731 8888,				
NCDEX at <a href="mailto:ig@ncdex.com">ig@ncdex.com</a> ; Tel. No.: 022-6640 6789 / 022-6640 6084,				
CDSL at: <a href="mailto:complaints@cdslindia.com">complaints@cdslindia.com</a> ; Tel. No.: 1800-22-5533				
NSDL at <a href="mailto:relations@nsdl.co.in">relations@nsdl.co.in</a> ; Tel No: 1800 1020 990 / 1800 224 430				
SEBI score link - <a href="https://scores.gov.in/scores/Welcome.html">https://scores.gov.in/scores/Welcome.html</a>				



2



3



## KNOW YOUR CLIENT APPLICATION FORM (KYC) - FOR INDIVIDUAL-3rd / Third Holder

11. Specify the proof of Identity submitted ☐ Passport ☐ Voter ID ☐ Driving License ☐ Others

E-mail ID:

• I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

• I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.

• My personal/KYC details may be shared with Central KYC Registry. I hereby consent to receiving information for Central KYC Registry through SMS / Email on the above registered number mail address. YES Securities (India) Ltd. -POS: 1200006538, CKYC: IN3900

## Place \_\_\_\_\_

## ACCOUNT OPENING FORM

(Please fill all the details in CAPITAL LETTERS only)

### 1. DEPOSITORY SERVICE

☐ CDSL DP ID : 12094600

Client ID :

I/We wish to open Depository Account with as per the following details:

### 2. DETAILS OF ACCOUNT HOLDER(S)

	First Holder	Second Holder	Third Holder
Client Name			
PAN	<input type="text"/>	<input type="text"/>	<input type="text"/>
UID			
UCC			
Exchange Name & ID			
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others _____	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others _____	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others _____
Nature of Business	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____

**3. For Association of persons (AOP), Partnership Firm, Unregistered Trust, etc, although the account is opened in the name of the natural persons, the name and PAN of the Associations of persons (AOP) Partnership Firm, Unregistered Trust etc. Should be mentioned below :**

(a) Name  (b) PAN

### 4. TYPE OF ACCOUNT

Status	Sub - Status
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual Director <input type="checkbox"/> Individual Director's Relatives <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Individual HUF/AOP <input type="checkbox"/> Minor <input type="checkbox"/> Other (specify) _____
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Non Repatriable <input type="checkbox"/> NRI Non Repatriable Promoter <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts <input type="checkbox"/> Other (specify) _____
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National- Depository Receipts <input type="checkbox"/> Other (specify) _____

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

### 5. Guardian Details (where sole holder is a minor):

Guardian Details (where sole holder is a minor):

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

Guardian Name	<input type="text"/>
PAN	<input type="text"/>
Relationship of guardian with minor	<input type="text"/>



## KNOW YOUR CLIENT (KYC) APPLICATION FORM - GUARDIAN (IN CASE SOLE HOLDER OF DEMAT ACCOUNT IS MINOR)

### A. IDENTITY DETAILS (Please see guidelines overleaf)

1. Name of the Applicant: (As appearing in supporting Identification document)

Prefix:  First Name:  Middle Name:  Last Name:

PHOTOGRAPH

Please affix the recent passport size Photograph and sign

2. Maiden Name (If any):

3. Father/ Husband :

4. Mother Name :

5. (a) Gender: ☐ Male ☐ Female ☐ Transgender (b) Marital Status: ☐ Single ☐ Married ☐ Other

6. Nationality: ☐ Indian ☐ Other (Please specify)  (c) Date of Birth:

7. Aadhaar :  8. Legal Entity Identifier (LEI) No.

9. Status: (Please ✓) ☐ Resident ☐ Non Resident ☐ Foreign National (Passport copy mandatory for NRIs & Foreign Nationals)

10. (a) PAN  (Please enclose a duly attested copy of your PAN card)

11. Specify the proof of Identity submitted ☐ Passport ☐ Voter ID ☐ Driving License ☐ Others

### ADDRESS DETAILS Preferred Mailing Address ☐ Resident / Correspondence ☐ Permanent Address ☐ (If preferred mailing address not specified, by default the Communication / Corporate benefit shall be sent to Permanent address)

1. Resident / Correspondence Address :

Landmark:

City/ Town/ Village:  PIN Code:

State:  Country:

2. Permanent Address of Resident Applicant if different from Correspondence Address

Landmark:

City/ Town/ Village:  PIN Code:

State:  Country:

GST Registered (Goods and Services Tax) ☐ Yes ☐ No GSTIN No (If GST Registered)

Note : Proof of GST registration is required if selected Yes (Related to correspondence address only)

Address Type : ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

Address Type : ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified

3. Proof of address to be provided by Applicant. Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

☐ Passport ☐ Driving License ☐ Voter Identity Card

☐ Utility Bill (Latest 2 Months)

☐ UID ☐ Others (Please specify)

☐ Passport ☐ Driving License ☐ Voter Identity Card

☐ Utility Bill (Latest 2 Months)

☐ UID ☐ Others (Please specify)

Document No. :  Date of Issue:

Validity/Expiry date of proof of address submitted  \*Not more than 3 Months old

Document No. :  Date of Issue:

Validity/Expiry date of proof of address submitted  \*Not more than 3 Months old

4. Contact Details: Tel (Off) :

Tel (Res) :

Mobile No.:

Fax No.:

E-mail ID:

### APPLICANT DECLARATION

- I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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 hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.
- I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only.
- My personal/KYC details may be shared with Central KYC Registry. I hereby consent to receiving information for Central KYC Registry through SMS / Email on the above registered number mail address. YES Securities (India) Ltd. - POS: 1200006538, CKYC: IN3900

#### The signatory confirms the following:

☐ Originals Verified and Self Attested Document copies received

☐ In Person Verification (IPV) details:

Client Interviewed By

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

Designation

Emp. code

Branch code

Emp. Signature

Name of the Organisation:

Signature of Authorised Signatory

Seal / Stamp of YES BANK/ YES SECURITIES

Signature of the Applicant

Date:

Place

**Additional KYC form for Demat & Trading Account related details**

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.

(To be filled by applicant only)

**DEPOSITORY ACCOUNT DETAILS**

Depository Participant Name: **YES SECURITIES (INDIA) LIMITED** Beneficiary Name: \_\_\_\_\_

Depository Name: **CDSL** DP ID: **1 2 0 9 4 6 0 0** Client ID (BO ID): \_\_\_\_\_

**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
5	6	7	8	9 NA	10

If you do not wish to trade in any of segments / Mutual Fund, please mention here Debt

# 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.

**INTRODUCER DETAILS (Optional)**

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

Status: ☐ Remisier ☐ Authorised Person ☐ Existing Clients ☐ Others, please specify: \_\_\_\_\_

Address: \_\_\_\_\_

Phone: \_\_\_\_\_

☒ Signature of Introducer

**OTHERS DETAILS (PLEASE SPECIFY)**

- ☐ Copy of ITR acknowledgement ☐ Copy of annual accounts ☐ Copy of Form 16 ☐ Networth certificate
- ☐ Salary slip ☐ Bank account statement for last 6 months ☐ Copy of demat account holding statement

Gross Annual Income

a) Income Range per Annum:

- Details: (Please specify) ☐ Below Rs.1,00,000 ☐ Rs.1,00,001 to Rs.5,00,000 ☐ Rs.5,00,001 to Rs.10,00,000
- ☐ Rs.10,00,001 to Rs.25,00,000 ☐ More than Rs.25,00,001 OR

b) Networth Rs. \_\_\_\_\_ as on           (Networth should not be older than one year)

**DEPOSITORY ACCOUNT DETAILS (APPLICABLE IN CASE OF NON - YES Securities (India) Ltd. DEMAT ACCOUNTS)**

Depository Participant Name and Address \_\_\_\_\_

Depository Name \_\_\_\_\_

DP ID \_\_\_\_\_ BO Account Number: \_\_\_\_\_

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

Note : YES Securities (India) Ltd. Demat Account will be default Demat Account for securities pay out.

**COMTRACK ACCOUNT DETAILS :**

CP Name & Address : \_\_\_\_\_

CP ID : \_\_\_\_\_

CMS (E) ID : \_\_\_\_\_

**COMRIS ACCOUNT DETAILS :**

CP Name & Address : \_\_\_\_\_

COMRIS ID : \_\_\_\_\_



### DEALINGS THROUGH AP AND OTHER STOCK BROKERS

AP Name & Code:	If client is dealing through the AP provide the following details:		
Registered office address:	<input type="text"/> <input type="text"/> Tel. <input type="text"/> Fax <input type="text"/> <input type="text"/> Website: <input type="text"/>		
SEBI / AP Registration No.:	<input type="text"/>		
Authorised Person's Code :	<input type="text"/>		
Name :	<input type="text"/>		
Address :	<input type="text"/>		
	<input type="text"/>		
Name of stock broker: Name of AP, if any: Client Code:	Whether dealing with any other stock broker /AP (if case dealing with multiple stock brokers /APs, provide details of all <input type="text"/> <input type="text"/> <input type="text"/> Exchange: <input type="text"/> Details of disputes/dues pending from/to such stock broker/ AP: _____		

### PAST ACTIONS

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

Particulars	Name of Authority	Month & Year of Action

Please tick, if applicable:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP <input type="checkbox"/> Not Related to PEP
Experience in securities Market	Number of years of Investment/Trading Experience: <input type="text"/> No Experience: <input type="checkbox"/>
Any other information:	<input type="text"/> <input type="text"/>

### BANK ACCOUNT DETAILS (FOR TRADING AND DEMAT ACCOUNT)

Bank Name	<input type="text"/>		
Branch Name	<input type="text"/>		
Branch Address	<input type="text"/>		
City	<input type="text"/>	<input type="text"/>	
State	<input type="text"/>	PIN Code <input type="text"/>	Tel. <input type="text"/>
Bank A/c No.	<input type="text"/>		
A/c Type:	<input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> Others-incase of NRI/NRE/NRO (specify) <input type="text"/>		
IFSC Code	<input type="text"/>	MICR Code <input type="text"/>	

**Note:** (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or), (ii) Photocopy of the Bank Statement having name and address of the BO (iii) Photocopy of the Passbook having name and address of the BO, (or), (iv) Letter from the Bank.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

#### 14. IN CASE OF NRI'S/ FOREIGN NATIONALS

RBI Approval Ref No.:	<input type="text"/>	RBI Approval Date:	<input type="text"/>
Foreign Address	<input type="text"/>		
City	<input type="text"/>	Country	<input type="text"/>
State	<input type="text"/>	PIN Code	<input type="text"/>
Mobile	<input type="text"/>	Tel.	<input type="text"/>
Name of the person to give trading instructions	<input type="text"/>	Fax	<input type="text"/>
	<input type="text"/>	Relationship with the Applicant	<input type="text"/>

#### BANK ACCOUNT DETAILS (PIS):

Bank Name	<input type="text"/>		
Branch Address	<input type="text"/>		
City	<input type="text"/>	Country	<input type="text"/>
State	<input type="text"/>	PIN Code	<input type="text"/>
Bank A/c No.	<input type="text"/>	Tel.	<input type="text"/>
IFSC Code	<input type="text"/>	MICR Code	<input type="text"/>

#### BANK ACCOUNT DETAILS (SAVINGS):

Bank Name	<input type="text"/>		
Branch Address	<input type="text"/>		
City	<input type="text"/>	Country	<input type="text"/>
State	<input type="text"/>	PIN Code	<input type="text"/>
Bank A/c No.	<input type="text"/>	Tel.	<input type="text"/>
IFSC Code	<input type="text"/>	MICR Code	<input type="text"/>

#### FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

	First/Sole Holder	Second Holder (if any)	Third Holder (if any)
Are you U.S. Person? (Refer KYC Handout - Customer Copy)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Royalty <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Royalty <input type="checkbox"/> Others	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Royalty <input type="checkbox"/> Others

Note: If you are a U.S. person and/or if your tax residency/nationality/citizenship is other than India, then please provide declaration/self certification under FATCA/CRS.

#### CONSENT FOR MARGIN TRADING FACILITY (MTF)

I/we wish to avail Margin Trading Facility (MTF): I / we confirm that I / we have received, read & understood, acknowledged and agreed to the Margin Trading Facility (MTF) Rights and Obligations as provided by YES Securities in Part C of the account opening / standard document

 Signature of Client



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

I / We undertake that we have made the client aware of Policy and Procedures', tariff sheet and all the non-mandatory documents. I / We have also made the client aware of Rights and Obligations' document (s), ROD 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 our website www.yesinvest.in for information of the clients.

## STANDARD DECLARATIONS

I wish to open <input type="checkbox"/> Regular Account <input type="checkbox"/> BSDA Account (If not marked, the default option would be Regular Account)	
Mode of receiving statement of accounts <input type="checkbox"/> Electronic <input type="checkbox"/> Physical (If not marked, the default option would be Electronic)	
I authorize YES Securities (India) Ltd. to receive credits automatically into my account <input type="checkbox"/> Yes <input type="checkbox"/> No (If not marked, the default option would be 'Yes')	
Receive SMS alerts with respect to Demat transactions <input type="checkbox"/> Yes <input type="checkbox"/> No (If not marked, the default option would be 'Yes')	
Whether you wish to receive: <input type="checkbox"/> Physical contract note <input type="checkbox"/> Electronic Contract Note (ECN)	
Account to be operated through DDPI <input type="checkbox"/> Yes <input type="checkbox"/> No	
Register for e-Delivery Instruction Slip (e-DIS) facility of CDSL <input type="checkbox"/> Yes <input type="checkbox"/> No	
Do you have a Demat Account with us with the same pattern of Holdings If Yes, reason of opening another Demat account _____ <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes') <input type="checkbox"/> Yes <input type="checkbox"/> No [Automatic Credit]	
I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') <input type="checkbox"/> Yes <input type="checkbox"/> No	
Account Statement Requirement <input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly	
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID (as specified in KYC form) <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to share the email ID with the RTA <input type="checkbox"/> Yes <input type="checkbox"/> No	
I / We would like to receive the Annual Report <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
I / We wish to receive dividend / interest directly in to my bank account as given below through ECS <input type="checkbox"/> Yes <input type="checkbox"/> No [If not marked, the default option will be 'Yes', [ECS is mandatory for locations notified by SEBI from time to time ]	
<b>SMS Alert facility:</b> [Mandatory if you are giving (DDPI). Ensure that the mobile number is provided in the KYC Application Form] (Default is "Yes" if not indicated) <input type="checkbox"/> Yes <input type="checkbox"/> No	
Easi	To register for Easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> . Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online. <input type="checkbox"/> Yes <input type="checkbox"/> No
Authorized to transfer DP debit to respective trading code ledger <input type="checkbox"/> Yes <input type="checkbox"/> No	
MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze) <input type="checkbox"/> Jointly <input type="checkbox"/> Any one of holder	
Consent for Communication to be received by first account holder/ all Account holder : (Tick the applicable box. If not marked the default option would be first holder.	
<input type="checkbox"/> First Holder	<input type="checkbox"/> All Holder <input type="checkbox"/> Second Holder <input type="checkbox"/> Third Holder
Email id _____	

## Option for Issue of DIS Booklet

I/We hereby state that [Select one of the options given below]

- ☐ Option 1 : I/ We require you to issue Delivery Instruction Slip (DIS) booklet to me/us immediately on opening of my/our CDSL account though I/we have registered for eDIS / executed PMS Agreement in favour of / with YES Securities (India) Limited for executing delivery instruction for settling stock exchanges trades (settlement related transactions ) effected through you for executing delivery instructions through eDIS.
- ☐ Option 2 : I/ We do not require the Delivery Instruction Slips (DIS) booklet for the time being, since I / We have registered for eDIS / executed PMS agreement in favour of / with YES Securities (India) Limited for executing delivery instructions for settling stock exchange trades (settlement related transaction) effected through you or for executing delivery instructions through eDIS. However, the Delivery Instruction Slip (DIS) booklet should be issued to me/us immediately on my/our request at any later date.

Date:

Place \_\_\_\_\_

12

Signature of Client

13

Signature of Client

#### Definitions:

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

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

#### Availability:

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of Security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of Joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

#### Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of Securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of Securities from his BO account by sending a SMS back to the service provider as there is no reverse Communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

### Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

### Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or Security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

### Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

### Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

### Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive Jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of **REGISTRATION**

BO ID

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write your 8 digit DPID)

(Please write your 8 digit Client ID)

Sole / First Holder's Name \_\_\_\_\_

Second Holder's Name \_\_\_\_\_

Third Holder's Name \_\_\_\_\_

Mobile Number on which messages are to be sent

+91																			
-----	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: \_\_\_\_\_

Email ID: \_\_\_\_\_

(Please write only ONE valid email ID on which Communication; if any, is to be sent)

Signatures



Sole / First Holder

Second holder

Third Holder

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

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

# FORM FOR NOMINATION/CANCELLATION OF NOMINATION

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



Date

DP ID

Client-ID

Registration No.

UCC-ID

☐ "I/We hereby confirm that I/We do not wish to appoint any nominee in my demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the demat account."

☐ "I/We nominate the following person/s who is entitled to receive all Assets / security balances lying in my/our account, particulars whereof are given below, in the event of the death of the Sole holder or the death of all the Joint Holders."

Nomination can be made upto three nominees in the account		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1.	<b>*Name of the Nominee(s) (Mr./Mrs.)</b>			
2.	<b>*Share of each Nominee</b> Equally <input type="checkbox"/> [If not equally, please specify percentage]	%	%	%
		Any odd lot after division shall be transferred to the first nominee mentioned in the form		
3.	<b>*Relationship with the Applicant (If any)</b>			
4.	<b>Address of Nominee(s)</b>			
5.	<b>Mobile / Telephone no of nominee(s) #</b>			
6.	<b>Email ID of nominee(s) #</b>			
7.	<b>Fax No. #</b>			
8.	<b>Nominee identification details #</b> [Please tick any one of following & provide details of the same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Savings Bank Account No. <input type="checkbox"/> Aadhaar <input type="checkbox"/> DP ID & Demat Client ID <input type="checkbox"/> Proof of identity			
<b>Serial Numbers 9-16 should be filled only if nominee(s) is a minor</b>				
9.	<b>Date of Birth</b> [mandatory if nominee is a minor]			
10.	<b>*Name of Guardians (Mr./Mrs.)</b>			
11.	<b>Address of Guardian(s)</b>			
12.	<b>Mobile / Telephone no of Guardian #</b>			
13.	<b>Email ID of Guardian #</b>			
14.	<b>Fax No. #</b>			
15.	<b>*Relationship of Guardian with nominee</b>			
16.	<b>Guardian identification details #</b> [Please tick any one of following & provide details of the same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Savings Bank Account No. <input type="checkbox"/> Aadhaar <input type="checkbox"/> DP ID & Demat Client ID <input type="checkbox"/> Proof of identity			

## Details of Witness required if the account holder affixes thumb impression

	Name of the Witness	Address	Signature of Witness
1			



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

\* Marked is Mandatory field # Marked is Optional field

#### Notes

- Residual securities: in case of multiple nominees, remaining after distribution of securities as per percentage of allocation, shall be transferred to the first nominee.
- 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, and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- Only individual / natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, and Hindu Undivided Family, etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/ share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.
- Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature [in both the cases i.e. nomination / opt out nomination.]





**Declaration Form for opting out of nomination**  
**[To be submitted in case customer does not want Nomination in the Demat and Trading Account]**

Date

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

DP ID	12094600
Client ID (only for Demat account)	
UCC ID	
Sole/First Holder Name	
Second Holder Name	
Third Holder Name	

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our MF Folio/ demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the MF Folio / demat account.

	Name(s) of Account Holder(s)	Signature of Holder/ Thumb impression of Holder
<b>Sole/First Holder (Mr./Ms./Mrs.)</b>		
<b>Second Holder (Mr./Ms./Mrs.)</b>		
<b>Third Holder (Mr./Ms./Mrs.)</b>		
<b>Guardian (in case sole holder is minor) (Mr./Ms./Mrs.)</b>		

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

Details of Witness required if the account holder affixes thumb impression			
	Name of the Witness	Address	Signature of Witness
1			





## 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 received a copy of the following documents and further confirm having read and understood the contents of these documents:-
  - Rights and Obligations of Stock Brokers, Clients as prescribed by SEBI and Stock Exchanges
  - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
  - Risk disclosure Document for Capital and Derivatives Segment
  - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
  - Policies and Procedures applicable to clients.

I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker, tariff sheet, voluntary & non voluntary documents. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any. I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of YES Securities (India) Limited. I/We shall keep myself updated of the same.
- I/We have read and understood the rules and regulations of the Depository and Depository Participants and I/We agree to abide and bind by the rules which are in force in force from time to time pertaining to my/our account. Further in respect of Government Securities (GSec), I/We will submit only those inter depository transfer instructions which are bonafide and arising out of genuine trade or transfer transaction.
- In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulation. I have informed the Bank that I will be trading through YES Securities (India) Limited and to honor all relevant requests. In case Bank is not been mapped or Tagged to YES Securities (India) Limited as my registered broker, YES Securities (India) Limited will not be responsible for any defaults thereof.
- I/We hereby consent to receive information from central KYC Registry through SMS/Email on the registered number/email address.
- I/We the undersigned, have taken cognizance of circulars issued by SEBI/Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and/we hereby undertake to comply with the same.  
I/We hereby declare and undertake that I/We will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time. I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity forward contract/commodity derivative on Exchanges through or through any other member(s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.  
I/We confirm that you have agreed to enter order in commodity forward contracts / commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking. I/We further undertake to bear any liable/penalty /charges levied by Commodity Exchanges / SEBI.
- GST details furnished are true and genuine along with proof of GST no. If no GST details furnished then, it shall be deemed that you are unregistered under GST. In case there is any change in correspondence address, we will charge GST based on the address available on record, unless intimated to us. We would not be responsible for any nonreceipt/short-receipt of GST credit due to incorrect/inaccurate/incomplete information provided and any loss, damage, cost and/or expenses suffered/incurred by us due to non-reversal of GST credit, act, omission, false statement suppression of fact and/or any breach would be borne by you.

Place \_\_\_\_\_

Date:

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

### Details of Witness required if the account holder affixes thumb impression

	Name of the Witness	Address	Signature of Witness
1			

## Schedule of Charges – DEMAT ACCOUNT

w.e.f. February 1, 2022

Charge	Type	Resident Individual/HUF	Basic Services Demat Account (BSDA)	
A/C opening Charges			Value of Holdings in the Demat Account (Debt as well as other than debt securities combined)	Maximum Annual Maintenance Charges
Annual Maintenance Charges(AMC)		₹ 25 (Monthly)	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)	
Dematerialization	Per Request Form	₹ 30	₹ 30	
	Per Certificate	₹ 2	₹ 2	
Rematerialisation	Per request form	₹ 20	₹ 20	
Closure of Account				
Pledge	Creation/Closure/Confirmation/Invocation % of transaction value of each ISIN	0.04% (Min ₹ 30; Max ₹ 50,000)	0.04% (Min ₹ 30; Max ₹ 50,000)	
NDU		0.02% (Min ₹ 30/-; Max ₹ 50,000)	0.02% (Min ₹ 30/-; Max ₹ 50,000)	
Margin Pledge Initiation / Release / Invocation		Rs. 10	Rs. 10	

### Terms and Conditions

(1.) All the above charges are exclusive of CDSL Charges and will be charged at actuals. (2.) CDSL charges are available on YES Securities website. Kindly visit <https://www.yesinvest.in>. (3.) The value of shares and charges are calculated as per CDSL formula and rates. (4.) The depository services are liable to discontinuation if YES Securities (India) Ltd. 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 Securities (India) Ltd. 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 month or 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 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 Securities (India) Ltd. 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:



Signature of Client

## Brokerage Chart

Particulars	Charges
Account Opening Fee	Nil
<b>Type</b>	<b>Brokerage</b>
Delivery	0.40%
Intraday (both side)	0.04%
Futures	0.04%
Options	INR. 50
Currency Futures	0.04%
Currency Options	INR. 50
Commodity Futures	0.04%
Commodity Options	INR. 50

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

### 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.
- Pledge/ Re-pledge/ Unpledge/ Invocation charges levied on YES Securities shall be recovered from the client.



Signature of Client

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

**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, Farmers 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, Producers, 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: 

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

Place \_\_\_\_\_



Signature of Client



Date:

### Non Solicitation Declaration

To,  
YES Securities (India) Limited

Dear Sir/Madam,

Sub: Request for providing information on product(s)/service(s)/facility of YES Securities (India) Limited

I, \_\_\_\_\_ hereby represent, warrant and confirm that I have independently and of my own volition decided to open the trading account with YES Securities (India) Limited ("YSL"), I have of my own accord, personally requested YSL and solely for my benefit, to act in connection with my application form.


I further acknowledge and confirm that no solicitation or offer has been made by YES Securities (India) Limited or any other branches/holding or subsidiaries of YES Securities (India) Limited in relation to opening of the above trading account or for providing any other product or service offered by YES Securities (India) Limited.

I hereby agree to fully indemnify YES Securities (India) Limited against any and all losses, damages, costs, expenses, liabilities, actions and proceedings whatsoever arising from or in connection with the said application for agreeing to accede to my request for assistance herein and/or carrying out such actions as requested by me.

I hereby acknowledge, agree and confirm that YES Securities (India) Limited is agreeing to render such assistance as may be requested by me (which it shall be entitled to refuse) shall not be taken in any way to be a recommendation or endorsement of my choice of such product/facility/service.

Availability of this online trading and investment service to NRIs is subject to compliance with procedural formalities as prescribed by SEBI/Exchange(s)/YES Securities (India)Limited from time to time.

I/we confirm that I/we have complied with and will continue to comply with the Foreign Exchange Management Act, 1999 of India, the regulations made there under and other rules and regulations as applicable from time to time.

	Sole/first holder	Second Holder	Third holder
Signature 			

Date:

Place:

Intentionally Left Blank



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.

(21)

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](http://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](http://www.yesinvest.in), or such other URL that may be provided and informed by YSL from time to time, where they are required to login and check the limit statement uploaded therein. It shall be the clients' responsibility to ensure that adequate credit balance is available in the account. The above guidelines may be changed based on the discretion of YSL and in terms of the market conditions. In cases where the market is volatile and there is a sudden spurt in scrip price then YSL may square off position without any notice due to the paucity of time and other such circumstances
- Whenever YSL endeavors that the positions are to be liquidated, it shall not be responsible for any liabilities in case the same cannot be liquidated.
- The priority of the positions to be squared off, i.e. which positions to be squared off first, would be at the discretion of YSL. YSL may follow the following priority for squaring-off positions: -
  - a. Lower Margin scrip's (securities or commodities) will be squared off first.
  - b. Only futures position will be squared off (option position may be square off manually)
  - c. In case where there is a position in cash and derivative segment, options positions would be squared off first followed by futures positions and then cash positions would be square off 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](mailto: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

















**DEMAT DEBIT AND PLEDGE INSTRUCTION (DDPI)**  
(THIS DOCUMENT IS VOLUNTARY)

**Schedule I - Client's Details**

DP ID: <b>12094600</b>	Name of DP: YES Securities (India) Limited
DP Client ID:	Trading Code (UCC):
<b>First Holder Full Name:</b>	
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
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 <sup>st</sup> Holder (24)
		 2 <sup>nd</sup> Holder SH-2
		 3 <sup>rd</sup> 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 <sup>st</sup> Holder (25)
		 2 <sup>nd</sup> Holder SH-3
		 3 <sup>rd</sup> Holder TH-3
3	Mutual Fund Transactions being executed on Stock Exchange order entry Platforms	 1 <sup>st</sup> Holder (26)
		 2 <sup>nd</sup> Holder SH-3
		 3 <sup>rd</sup> Holder TH-3
4	Tendering shares in open offers through Stock Exchange Platforms	 1 <sup>st</sup> Holder (27)
		 2 <sup>nd</sup> Holder SH-3
		 3 <sup>rd</sup> Holder TH-3

**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.

<input type="checkbox"/> New	<input type="checkbox"/> Update	Customer Id	<input type="text"/>	Application Date:	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Account Number		<input type="text"/>	<input type="text"/>	Trading A/c No.		<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
DP ID 12094600		Client ID	<input type="text"/>								

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>			
Father / Spouse Name*	<input type="text"/>			
Mother Name*	<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			
Marital Status*	<input type="checkbox"/> Married <input type="checkbox"/> Unmarried <input type="checkbox"/> Others			
Citizenship*	<input type="checkbox"/> IN-Indian <input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )			
Residential Status*	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident Individual <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector ) <input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student ) <input type="checkbox"/> B-Business <input type="checkbox"/> X-Not Categorised			
Legal Entity Identifier (LEI) No.	<input type="text"/>			

PHOTO

Signature / Thumb Impression

**2. TICK IF APPLICABLE ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)**

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*	<input type="text"/>
Tax Identification Number or equivalent (if issued by jurisdiction)*	<input type="text"/>
Place / City of Birth*	<input type="text"/>
ISO 3166 Country Code of Birth*	<input type="text"/>

**3. PROOF OF IDENTITY (PoI) (Please refer Instruction C at the end)**

 PAN Card 
**4. PROOF OF ADDRESS (PoA) PERMANENT ADDRESS**

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

Permanent Address*	<input type="checkbox"/> Passport <input type="checkbox"/> Driving Licence <input type="checkbox"/> UID (Aadhaar) <input type="checkbox"/> Voter Identity Card <input type="checkbox"/> Other	<input type="text"/>
<input type="checkbox"/> Bank Statement		
Passport No.	<input type="text"/>	Passport Expiry Date <input type="text"/>
Aadhaar No.	<input type="text"/>	Driving Licence Expiry Date <input type="text"/>
Voter ID No.	<input type="text"/>	Driving Licence No. <input type="text"/>

**Address**

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
Country	<input type="text"/>
Pin / Post Code*	<input type="text"/>
City/Town/Village*	<input type="text"/>

**4.2 CORRESPONDENCE**

<input type="checkbox"/> Same as Permanent address details				
Line 1*	<input type="text"/>			
Line 2	<input type="text"/>			
Line 3	<input type="text"/>			
Country	<input type="text"/>			
Pin / Post Code*	<input type="text"/>			
City/Town/Village*	<input type="text"/>			

**4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\***☐ Same as Correspondence address details

Line 1*																					
Line 2																					
Line 3																City/Town/Village*					
Country						Pin / Post Code*															

**5. CONTACT DETAILS** (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction F at the end)

Mobile																				
Email ID																				

**6. DETAILS OF RELATED PERSON** (In case of additional related persons. Please fill 'Annexure B1') (Please refer instruction G at the end)☐ Addition of Related Person ☐ Deletion of Related PersonKYC Number of Related Person (If available\*) Related Person Type\* ☐ Guardian of Minor ☐ Assgnee ☐ Authorized Respresentative

Prefix	First Name	Middle Name	Last Name
Name*			

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

**PROOF OF IDENTITY [PoI] OF RELATED PERSON** (Please see instruction (H) at the end)

<input type="checkbox"/> A - Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> B - Voter ID Card	<input type="text"/>								
<input type="checkbox"/> C - PAN Card	<input type="text"/>								
<input type="checkbox"/> D - Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> E - UID (Aadhaar)	<input type="text"/>								

**8.**

I and belief and I undertake to inform you of any chages 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

hdbreby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address. hereby declare that the details furnished above are true and correct to the best of my knowledge

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Date 

Place : .....

**9. ATTESTATION / FOR OFFICE USE ONLY****Documents Received** ☐ Certified CopiesDate 

Emp. Name																					
Emp. Code						Emp Designation															
Emp. Branch																					

Employee Signature

### 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: \_\_\_\_\_



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](http://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](http://www.yesinvest.in)

E-Mail: [customer.service@ysil.in](mailto: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](http://www.yesinvest.in) | Email ID: [customer.service@ysil.in](mailto:customer.service@ysil.in)/[igc@ysil.in](mailto: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](mailto: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:

   
Signature of Client

INSTRUCTIONS / CHECKLIST FOR FILING 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.
12. In case of foreign address, the address containing Post Office Box Number (P.O. Box. No.) may be accepted as valid address provided such P.O. Box No. is mentioned in the valid proof of address documents. The address with P.O. Box No. may be accepted as Permanent and/or Correspondence address. In such cases, additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.

**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, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards / Debit cards issued by Banks.

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

1. Passport / Voters Identity Card / Ration Card / Registered Lease or Sale Agreement of Residence / Driving License / Flat Maintenance bill / Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement / Passbook- Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card / document with address, issued by any of the following:  
Central / State Government and its Departments, Statutory / Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII / sub account, Power of Attorney given by FII / sub-account to the Custodians (which are duly notarized and / or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse 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 / multi lateral agencies exempt from paying taxes / filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000 / - p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under 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.

### **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

## INSTRUCTIONS / CHECK LIST

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

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

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

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/Authorized Person'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 signature.

## IMPORTANT:

1. Sign in the 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 Accounting Opening Form shall be used for opening trading account of NRI, HUF, Partnership Firm and Unregistered Trust.

Intentionally Left Blank

### FOR OFFICE PURPOSE ONLY

Marketing Executive (E1)	<input type="text"/>	Relationship Manager (E2)	<input type="text"/>
Remiser (if any)	<input type="text"/>	Branch/ FAN	<input type="text"/>
Sourcing Channel	<input type="text"/>		

**CLIENT RISK CATEGORISATION UNDER PMLA:** ☐ LOW RISK ☐ MEDIUM RISK ☐ HIGH RISK

☐ CDSL DP ID : 12094600

Client ID :

### SUBMISSION CHECKLIST

1. Complete Documentation Received ☐ Yes ☐ No If No, give details \_\_\_\_\_

2. "Verified with Original" stamp affixed on proofs ☐ Yes ☐ No

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

3. "PAN verified" stamp with Employee name & signature affixed on proof ☐ Yes ☐ No

4. Margin Money collected ☐ Yes ☐ No Amount in Rs. \_\_\_\_\_ Rs. (in words) \_\_\_\_\_

Chq./ CMS No: \_\_\_\_\_ Chq./ CMS. Date:         Bank Name \_\_\_\_\_

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, Guidance Note & Do's & Dont's.

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

I am aware that if any of the requirements is not fulfilled then a penalty would be charged to me or any other action may be taken as deemed fit by the Management for non compliance from my end.

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

Pincode : \_\_\_\_\_

Name of the Employee of YES Securities (India) Limited: \_\_\_\_\_ Employee Code : \_\_\_\_\_

Representative Signature & Stamp :



Signature of Client



Date



**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:

