| KYC Type: | Application Form No: | |
|-----------------------|---|--|
| Promo Code: | (For Head Office use only) | |
| Product: | Demat Client ID: | |
| YSL lead ID: | Date (DD/MM/YY): DD MM YYYYY | |
| (For Branch use only) | UCC | |
| Branch Code: | Risk Categorization: (For Trading Account) | |
| Branch Name: | - | |
| | | |
| | | |

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 NON INDIVIDUALS



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.

ACCOUNT OPENING KIT

| INDEX OF THE DOCUMENTS | | | | | | |
|---|---|--------------------------------------|---|---------------|-----------------------------|--|
| Sr. No. | Name of the Document | | Brief Significance of the Document | | | |
| | MANDATOR | S AS PRESCRIBED BY SEBI & EXCHANGES | | | | |
| | | A. KYC form - Dinstruction / G | Document captures the basic information about the constituent and an check list | PARTA | 3-10 | |
| | | B. Additional KY | 'C details for opening Demat Account with YES Securities (India) Ltd. | PART A | 3-10 | |
| 1. | Account Opening Form | C. Document c | C. Document captures the additional information about the constituent relevant to trading account and an instruction / check list. | | | |
| 2. | Tariff sheet | | ailing the rate/amount of brokerage and other charges levied on ding on the stock exchange(s) with YES Securites (India) Ltd. | PARTA | 11 | |
| 3. | Rights & Obligations of Beneficial Owner and Depository Participant | Document statir | Document stating the Rights & Obligations of Depository Account Holder. | | | |
| 4. | Rights and Obligations | authorised perso | 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) | | | |
| 5. | Risk Disclosure Document (RDD) | Document detail | ing risks associated with dealing in the securities market. | PART B | ပိ | |
| 6. | Guidance note | Document detai investors. | ling do's and don'ts for trading on exchange, for the education of the | PART B | Separate Copy for Client | |
| 7. | Policies and Procedures | Document descri | ibing significant policies and procedures of the stock broker | PART A & B | S | |
| 8. | CKYC Annexure | For Resident / N | Non-Resident Individuals additional mailing address / related person | PART A | 31-33 | |
| 9. | Investor Charter for Stock Broker | activities of Sto | 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 | | | |
| 10. | Investor Charter for Depository Participant | activities of Dep | iling the services provided to Investors, Rights of Investors, various ository Participant with timelines, Dos and DON'Ts for Investors and ressal Mechanism | PART C | Separate Copy for Client | |
| | VOI | | MENTS AS PROVIDED BY THE STOCK BROKER | 1 | | |
| 11. | Power of Attorney | Document requiseamless tradin | uired for linkage of Bank and Demat account for experience of g in securities. | PART A | 1A-3A | |
| 12. | Voluntary Authorisations and Declarations | Declarations / A account on runn | uthorisation from client for various purposes including maintaining ing basis. | PART A | 15-17 | |
| 13. | Voluntary Clauses | Additional claus | es other than specified by SEBI to facilitate transaction of client. | PART C | | |
| 14. | Intimation of Prevention of Money Laundering Act | Document is to r | make the client aware of Prevention of Money Laundering provisions. | PART C | Separate Copy for Client | |
| 15. | Rights & Obligations of Margin Trading Facility (MTF) | Document statir | ng the Rights & Obligations of Margin Trading Facility (MTF) | PART C | Separ | |
| Registe | ered Office Address | YES BANK Hous | e, Off Western Express Highway, 2nd Floor, North Side, Santacruz (| E), Mumba | i - 400 055. | |
| Corres | pondence Office Address: | YES Securities (I Mumbai - 400 05 | ndia) Limited, AFL House, 4th Floor, Lok Bharti Complex, Marol Maro 9. | oshi Road, | Andheri (E), | |
| 0 " 0" 1 | | Mr. Aditya Goenk | ra, (022) 6507 8127, compliance@ysil.in | | | |
| CEO Name, Phone No. & Email ID: Managing Directo | | Managing Directo | or & CEO - Mr. Anshul Arzare (022) 65078120, ceo@ysil.in | | | |
| Name of Stock Broker / Trading Member / Clearing 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 | | | |
| | TMENT ADVISORY - INA00000733 | 1 | RESEARCH ANALYST - INH000002376 | | | |
| | HANT BANKER - INM000012227 | 1 | AMFI ARN Code: 94338 | | | |
| | | | | | | |
| CIN: U74992MH2013PLC240971 (CAT III AIF) SEBI Registration No. IN/AIF3/20-21/0818 For any grievance / dispute please contact | | | | | | |

For any grievance / dispute please contact

YES Securities (India) Ltd. at the above address or email us at customer.service@ysil.in or call at (022-7100 9830)

In case you are not satisfied with the response, please contact concerned exchanges and depository.:

BSE at <u>is@bseindia.com</u>; Tel. No. 022-2272 8097 / 022-2272 1233/34, **NSE** at <u>ignse@nse.co.in</u>; Tel No. 1800 22 0058 / 022-2659 8190,

MCX at grievance@mcxindia.com: Tel. No. 022-6649 4070 / 022-6731 8888,

NCDEX at <u>ig@ncdex.com</u>: Tel. No.: 022-6640 6789 / 022-6640 6084, CDSL at: <u>complaints@cdslindia.com</u>: Tel. No.: 1800-22-5533 NSDL at <u>relations@nsdl.co.in</u>: Tel No: 1800 1020 990 / 1800 224 430

SEBI score link - https://scores.gov.in/scores/Welcome.html

KNOW YOUR CLIENT (KYC) FORM FOR INDIVIDUALS

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

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

✓ YES SECURIT¹ES

| | | DP Name | e - YES Securi | ities (India | a) Ltd. | | | DP IC |) - 120946 | 00 | |
|---|------------------------------------|----------------------------|---------------------------------|--------------|------------|-------------------|----------------------|---------------------------|---------------|-----------|--|
| | | Please fill t | this form in EN | IGLISH a | nd in BLC | OCK LET | TTERS wi | th BLACK I | INK Only | | (Please tick ✓ the appropriate) |
| NEW | CHANGE REQUI | EST DF | P ID: 1 2 0 | 9 4 6 | 6 0 0 | CL | IENT ID: | | | | Acknowledgement No. |
| IDENTITYDETAILS | | | | | | | | | | | |
| Applicant name | | | | | | | | | | | |
| Date of Incorporation | D D M N | ЛҮҮ | YY | Pla | ice of Ind | corpora | ation | | | | Date of Commencement of Business D D M M Y Y Y Y |
| PAN no. (Mandatory for Demat / ISA) | | | | | | | Oocument AN exemp | s provided | | | CIN No. |
| Status | Private Lim | nited Co. | Public | Ltd. Co. | III Co | | Body Co | | Cha | arities | Trust Non Government Organisation Bank |
| | Governmen | nt Body | Defens | e Establ | ishment | | Society | | Par | tnershi | nip LLP NGO's |
| | FI | | FII | | DN= 64 | | HUF | | AO | | BOI Others Please specify |
| Officially valid Docu | | | | | | | | alid docui orporation/ | | | √) against the document attached. Registration Certificate |
| Memorandum of Ar | ticles and Assoc | ciation | Partnership | Deed | Trus | st Deed | | Board Res | | | ower of attorney granted to its manager, office, employees to transact on its behalf |
| Activity Proof-1+ (F | | orship Only) | Activity | Proof-2- | + (For So | ole Prop | orietorshi | p Only) | | | |
| Legal Entity Identifie | er (LEI) No. | | | | | | | | | | |
| ADDRESSAND CO | NTACT DETAIL | LO | red Mailing Aderred Mailing Add | | | | | Address | | | pondence/Foreign Address e sent to Correspondence Address) |
| | | (| | | | | | | | | below address |
| ☐ Correspondence / Foreign Address | | | | | | | | | | | |
| ☐ Office Address | | | | | | | | | | | |
| Landmark | | | | | | | | City /To | own / Vill | age | |
| State | | | | | | | | | | | PIN (Mandatory) |
| Country | India | Other | | | | | | | | | 1 III (Manadoly) |
| • | | Outo | | | | | | | | | |
| Add. proof submitted | | | | | | | | | | | |
| Contact details Tel. (Off.) | Country code | e S | STD /Area co | de | | | Nun | nber | | | Extn. |
| | | - - | | | | | | | | | |
| Tel. (Res.) | | - - | | - | | | | | | | Country code Number |
| Fax | | <u> </u> | | <u> </u> | | | | | | Mo | Aobile - |
| e - mail ID | INC | AP | ITA | L | LE | T | TE | RS | 0 1 | 1 L) | Y |
| | Please tic | k if regist | tered addr | ess is t | the sar | ne as | above | address | s Mand | atory : F | Please attach SelfAttested Proof of below address |
| RegisteredAddress | | | | | | | | | | | |
| | | | | | | | | | | | |
| Landmark | | | | | | | | City/To | wn/Villag | je | |
| State | | | | | | | | | | | PIN (Mandatory) |
| Country | India | Other | | | | | | | | | |
| Add. proof submitted | | | | | | | | | | | |
| <u>·</u> | be provided by | Applicant. | . Please sub | mit ANY | ONE o | f the fo | llowing | valid doc | uments & | & tick (| (✓) against the document attached. |
| *Latest Telephon | | | *Late | | | _ | _ | | | | /Passbook Registered Lease/Sale Agreement of Office Premises |
| Any other proof | | , | | , | | | | | | | *Not more than 3 Months old. |
| Document No. : | | | | D | ate of Is | sue: | $D \mid I$ | $D \mid M \mid N$ | / | / Y | Place of Issue : |
| Issuing Authority: | | | | Va | alidity/E | xpiry da | ate of pro | of of add | ress subr | nitted | D D M M Y Y Y Y |
| GST Registered (Go | ods and Servic | es Tax) | Yes | No | | | | | GST | IN No (| o (If GST Registered) |
| Note : Proof of GST | | equired if se | elected Yes (| Related | to corre | sponde | ence add | lress only |) | | |
| APPLICANT DECL | | taila fromiala | ad by man and | | | the be | - | | ما امسم مسالم | link and | d live males to be information of any sharpers thousing immediately. In any any of |
| the above information | | | | | | | | | | | nd I/we under-take to inform you of any changes therein, immediately. In case any of Id liable for it. |
| I/We hereby consent | • | | | • | | | • | | | | ress. hereby consent to sharing my/our masked Aadhaar card with readable QR code or |
| my Aadhaar XML/Di | gilocker XML file | , along with p | passcode and | l as applic | able, wit | h KRA a | and other | Intermedia | aries with v | vhom I h | have a business relationship for KYC purposes only. |
| My personal/KYC de Securities (India) Ltd | etails may be sha d POS: 120000 | red with Cer 6538, CKYC | ntral KYC Rec 2: IN3900 | gistry. I he | ereby cor | nsent to | receiving | informatio | n for Cent | ral KYC | C Registry through SMS / Email on the above registered number mail address. YES |
| | onfirms the follow | | | | | | | | | Si | Signature of the Applicant |
| Originals Ve | erified and Self At | tested Docum | nent copies re | ceived | | | | | | | |
| In Person V | erification (IPV) d | etails: | | | | Seal / S YES E | | | | | |
| Name of the st | аff who has car | ried | | | | | CURITIES | | | | |
| out the in-person | verification | | | _ | | | | | | | |
| Client Interviewed Name of the st out the in-person Designation Emp. code | | | - | D | D M | M | YYY | Y | | | 0 |
| Emp. code | | | Name o | | | | | | | _ | Detail D. D. M. M. V. V. V. V. |
| Branch code | | | Organis | sation: | | | | | | D | Date: DDMMYYYYY |
| Emp. Signatur | е | S | Signature of Au | thorised S | Signatory | | | | | D | Placa |



KNOW YOUR CLIENT (KYC) APPLICATION FORM - GUARDIAN

(IN CASE PARTNER IS MINOR - ONLY FOR DEMAT ACCOUNT) Please fill this form in ENGLISH and in BLOCK LETTERS A. IDENTITY DETAILS 1. Name 2. Father/Spouse Name Male Single 3. a. Gender: Female b. Marital Status Married c. Date of Birth 4. a. Nationality: b. Status: Resident Individual Non-resident Others (Please specify) Foreign National 5. a. PAN b. Unique Identification Number (UID) / AADHAAR, if any 6. Specify the Proof of Identity submitted: PAN Card Any other (Please specify) 7. Relationship of Guardian with Minor Date of Birth of Minor DDDMMMYYYY Legal Entity Identifier (LEI) No. **B. ADDRESS DETAILS** 1. Address for Correspondence City/ Town/ Village PIN Code State Country 2. Contact Details: Tel. (Off) Tel. (Res) Mobile Fax E-mail ID 3. Specify the Proof of Address submitted for Correspondence Address Document No. 4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant): City/Town/Village PIN Code State Country 5. Specify the Proof of Address submitted for Permanent Address Document No. C. OTHER DETAILS Gross Annual Income Details: (Please specify) Rs.1,00,001 to Rs.5,00,000 a) Income Range per Annum: Below Rs.1,00,000 Rs.5,00,001 to Rs.10,00,000 Rs.10,00,001 to Rs.25,00,000 Rs.25,00,001to Rs. 1,00,00,000 More than Rs. 1,00,00,000 b) Networth Rs. . (Networth should not be older than one year) as on DDMM OCCUPATION DETAILS: (Please tick any one and give brief details): **Service:** Private Sector **Public Sector** Business Professional Agriculturist Retired Govt. Service Housewife Student Others (pls specify) Nature of Business 3) Please tick If any of the authorized signatories / Promoters / Partners / Karta / Trustees / Whole Time Directors is either Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐. Not a PEP ☐ Not Related to PEP ☐ Any other information: 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 Signature of the applicant 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

Name of the

Organisation

Signature of Authorised Signatory

Emp. code

Branch code

Emp. Signature

DEPOSITORY SERVICES ACCOUNT OPENING FORM



| DEPOSITORY SERVICE | | | | |
|--|--|---|--|---------------------------------------|
| CDSL DP ID: 12094600 | | | Client ID: | |
| I/We wish to open Depository Account with | CDSL:12094600 as per the following | details: | | |
| Type of account | | | | |
| Body Corporate Foreign Body FI FII | Bank Clearing Member | Trust H | UF QFI | MF |
| Details of Account holder (s): Name of Corporate (Sole / First Holder) | Nam | e | | PAN |
| Second Holder | | | | |
| Third Holder | | | | |
| For Partnership Firm, Unregistered Trust, Ass the name & PAN of the Partnership Firm, Ur | ociation of Person (AOP) etc., al | though the account is of Person (AOP) etc. sh | pened in the name of the ould be mentioned below | e partner(s), trustee(es) etc., v: |
| Name | | | PAN | |
| | | | | |
| List of Family Members for HUF only (Sep Sr. No. Name of Coparcener/Member | Gender | Date of Birth | Relation with Karta | Whether Coparcener/ |
| or coparcener/member | Gender | | Relation with Narta | Member(Please specify) |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |
| Bank Details (For Trading and Demat Account) | | | | |
| Account Type | Savings Accou | nt Current Acco | unt Othe | rs (Please specify) |
| Account Number | | | | |
| Name(s) of Bank Account Holder(s) | | | | |
| Branch Address | | | | |
| Bank Name: | Flat / Building /Tower /Apartme | nt / Palace / Chamber / Mansion | | |
| Bank Branch: | Street / Road / Marg / Lane /Av | /enue / Rasta | | |
| Dank Branch. | Area / Landmark | | 5111 | |
| | City State | Count | ry PIN (Mandator | y) |
| MICRCode IFSC | | | | |
| Note: (i) Photocopy of the cancelled cheque (ii) Photocopy of the Bank Statement having Letter from the Bank. • In case of options (ii), (iii) and (iv) above, MId | name and address of the BO (iii) | Photocopy of the Pass | sbook having name and | address of the BO, (or), (iv) |
| In case of FIIs/Foreign Body/Others (as ma | ay be applicable) | | | |
| 3 | /Tower /Apartment / Palace / Chamber / Mar | nsion | | |
| (Mandatory) Street / Road | / Marg / Lane /Avenue / Rasta | | | |
| Area / Landma | ark | | ı | DIN |
| City City | State | Country | / (1 | PIN Mandatory) |
| RBI Reference No. | M V V V | | | |
| RBI Approval Date | IVI Y Y Y Y | • | EDI Degiatration Data | |
| SEBI Registration No. (For FIIs) | | S | EBI Registration Date | |



| Details of Promoters / Partners / Ka | rta / Trustees and Whole time directors forming a part of Know Your Client (KYC) Ap | pplication Form for Non-Individual | | | |
|---|---|--|--|--|--|
| 1. Name | | | | | |
| Deletienskie with the Applicant | | | | | |
| Relationship with the Applicant (i.e. promoters, whole time directors etc.) | | | | | |
| PAN | DIN /Aadhaar (Don't Mention) | Diago poeto a recent | | | |
| Residential / Registered Address | Flat / Building / Tower / Apartment / Palace / Chamber / Mansion | Please paste a recent passport size photograph | | | |
| Please tick, if applicable | Street / Road / Marg / Lane / Avenue / Rasta | (Don't staple) Sign across photograph | | | |
| □ Politically Exposed Person (PEP)□ Related to a Politically Exposed Person | Area / Landmark City PIN | | | | |
| (PEP) | City PIN (Mandatory) State Country | | | | |
| Mobile No.: | Email: | | | | |
| | | | | | |
| 2. Name | | | | | |
| Relationship with the Applicant | | | | | |
| (i.e. promoters, whole time directors etc.) | DIN /Aadhaar (Don't Mention) | | | | |
| | Flat / Building / Tower / Apartment / Palace / Chamber / Mansion | Please paste a recent | | | |
| Residential / Registered Address Please tick, if applicable | Street / Road / Marg / Lane / Avenue / Rasta | passport size photograph (Don't staple) | | | |
| ☐ Politically Exposed Person (PEP) | Area / Landmark | Sign across photograph | | | |
| Related to a Politically Exposed Person (PEP) | City PIN (Mandatory) | | | | |
| (1 = 1) | State Country | | | | |
| Mobile No.: | Email: | | | | |
| 3. Name | | | | | |
| | | | | | |
| Relationship with the Applicant (i.e. promoters, whole time directors etc.) | | | | | |
| PAN | DIN /Aadhaar (Don't Mention) | | | | |
| Residential / Registered Address | Flat / Building / Tower / Apartment / Palace / Chamber / Mansion | Please paste a recent passport size photograph | | | |
| Please tick, if applicable | Street / Road / Marg / Lane / Avenue / Rasta | (Don't staple) Sign across photograph | | | |
| □ Politically Exposed Person (PEP) □ Related to a Politically Exposed Person | Area / Landmark | | | | |
| (PEP) | City PIN (Mandatory) | | | | |
| Mobile No.: | State Country Email: | | | | |
| | Lilidii. | | | | |
| 4. Name | | | | | |
| Relationship with the Applicant | | | | | |
| (i.e. promoters, whole time directors etc.) | DIN /Aadhaar (Don't Mention) | | | | |
| | Flat / Building / Tower / Apartment / Palace / Chamber / Mansion | Please paste a recent | | | |
| Residential / Registered Address | Street / Road / Marg / Lane / Avenue / Rasta | passport size photograph (Don't staple) | | | |
| Please tick, if applicable Politically Exposed Person (PEP) | Area / Landmark | Sign across photograph | | | |
| Related to a Politically Exposed Person (PEP) | City PIN (Mandatory) | | | | |
| , | State Country | | | | |
| Mobile No.: | Email: | | | | |
| 5. Name | | | | | |
| | | | | | |
| Relationship with the Applicant (i.e. promoters, whole time directors etc.) | | | | | |
| PAN DIN /Aadhaar (Don't Mention) | | | | | |
| Residential / Registered Address | Flat / Building / Tower / Apartment / Palace / Chamber / Mansion | Please paste a recent passport size photograph | | | |
| Please tick, if applicable | Street / Road / Marg / Lane / Avenue / Rasta | (Don't staple) Sign across photograph | | | |
| □ Politically Exposed Person (PEP)□ Related to a Politically Exposed Person | Area / Landmark City PIN | | | | |
| (PEP) | (Mandatory) | | | | |
| Mobile No.: | State Country Email: | | | | |
| IVIOUIIG IVO | Linian | | | | |
| 3 Name and Signature of the | Authorised Signatory(ies) | D D M M Y Y Y Y | | | |

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)

| RADING PREFERENCE | ES | | | | Date DDMMYYYY |
|---|--------------------------|--|-------------------------------|--|----------------------------|
| lease sign in the releva | nt boxes where you wish | to trade. Please strike off | the segment not chosen b | y you. | |
| Exchanges | NSE, E | BSE | | | MCX |
| All Segments | Cash/ Mutual Fund | F&O | Currency | Debt | Commodity Derivative |
| 4 | 5 | 6 | 0 | NA NA | 0 |
| If in future, the client | want to trade on any new | Mutual Fund, please ment segment / new exchange atives segment: (Please re | e, separate authorisation / I | etter would be required. F | Please specify the proof |
| Note - You will not get | the access of exchange | in which YES Securities (I | ndia) Ltd is not registered | or active. | |
| PROOF OF FINAN | CIAL DETAILS (MANI | DATORY IN CASE OF I | DERIVATIVES/ CURRE | NCY) | |
| Copy of ITR a Salary slip Gross Annual Inco | | Copy of annual acc tement for last 6 month lange per Annum: | | orm 16 Networth Networth lemat account holding s | certificate |
| Details: (Please sp | Below I | Rs.1,00,000 Rs.1,00,001 to Rs.25,00,000 | | | |
| | b) Networth F | dsas on | D D M M Y Y Y Y | (Networth should n | ot be older than one year) |
| INTRODUCER DET | TAILS (Optional) | | | | |
| Name: | | | | | |
| Status: | Remisier Authoris | ed Person Existing | Clients Others, plea | ise specify: | |
| Address: | | | | | |
| | | Phor | ne: | X Sig | nature of Introducer |
| DEPOSITORY ACC | COUNT DETAILS (AP | PLICABLE IN CASE O | F NON - YES Securitie | s (India) Ltd. DEMAT A | ACCOUNTS |
| Depository Participa Name and Address | | | | | |
| Depository Name | | | | | |
| DP ID | | | | BO Account Number: | |
| Beneficiary Name | | | | | |
| · | es (India) I td. Demat A | ecount will be default D | Demat Account for secur | ities pay out | |
| | , | account will be delauit b | Jemat Account for Secur | nies pay out. | |
| COMTRACK ACCO | | | | | |
| or Name a Addre | | | | | |
| OD | ID. | | | | |
| CP | | | | | |
| CM | S (E) ID : | | | | |
| COMRIS ACCOUN | T DETAILS : | | | | |
| CP Name & Addre | | | | | |
| | | | | | |
| CO | MRIS ID : | | | | |

| DEALINGS THROUGH AP | AND OTHER STOCK BR | OKERS | |
|----------------------------------|--|--|------------------------|
| | If client is dealing through | gh the AP provide the following details: | |
| AP | | | |
| Name & Code: | | | |
| Registered office address: | | Tol | Fox |
| CERL / AR Registration No. | | Tel. Wohaita | Fax |
| SEBI / AP Registration No.: | | Website: | |
| Authorised Person's Code : | | | |
| Name : | | | |
| Address : | | | |
| Address . | | | |
| | | | |
| | Whether dealing with any stock brokers / APs, prov | y other stock broker/ AP (if case dealing with n ride details of all | nultiple |
| Name of stock broker: | | | |
| Name of AP, if any: | | | |
| Client Code: | | Exchange: | |
| | Details of disputes/dues pen | nding from/to such stock broker / AP: | |
| | Betaile of disputes/dues per | | |
| PAST ACTIONS | | | |
| Details of any action/procee | | ken by SEBI/ Stock exchange/any other auth zed persons in charge of dealing in securities | |
| Particulars | ; | Name of Authority | Month & Year of Action |
| | | - | |
| | | | |
| | | <u> </u> | |
| | T | | |
| Experience in securities Market | _ | estment/Trading Experience: | |
| Market | No Experience: | | |
| | | | |
| Any other information: | | | |
| | | | |
| | | | |
| | | | |
| CONSENT FOR MARGIN T | RADING FACILITY (MTF) | | |

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





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.

| 2. IN CASE OF FII'S/ OTHERS | S (AS MAY BE APPLICABLE) |
|-----------------------------|--|
| (A) RBI Approval Ref No.: | (B)RBI Approval Date: |
| SEBI Regd. No. (For FIIs): | SEBI Registration Date: |
| Currency | |
| Foreign Address | |
| City | Country |
| State | PIN Code Tel. |
| Mobile | Fax |
| Website | |
| | |
| 3. CLEARING MEMBERS DET | TAILS (TO BE FILLED BY CMS ONLY) |
| Name of the Exchanges | |
| Name of the CC / CH | |
| Trading ID | Clearing Member ID |
| SEBI Regd. No. | CM-BP ID (to be filled-up by participant) |
| | |
| 4. INTRODUCER'S DETAILS | |
| Status Of Introducer | Remisier Existing Account Holder Bank Official AP |
| | YES Securities (India) Ltd. Employee Any Other Person |
| Introducer's Name: | |
| Address | |
| City | Country |
| State Occupation | PIN Code Tel. PAN C O M P U L S O R Y |
| DP ID | For existing client only Client ID For existing client only Login ID For existing client only |
| Designation | Employee Code |
| Bank & Branch Name | |
| Email Id | |
| | |
| | Signature of the Introducer |
| | Orginature of the littloducer |
| 8. CONSENT FOR RECEIVI | ING SMS/EMAIL ALERTS FROM CONCERNED STOCK EXCHANGES |
| | S/Email alert facility offered by respective Exchanges showing details of my daily transactions executed through I. on my e-mail id/ mobile no. provided in KYC Form. |
| | |
| Clients signature | |



| STANDARD DECLARATIONS | | | | | | |
|---|--|--|-----------------------|-------------------|---------------------------------------|--|
| I wish to open Regular Ad | ccount BSDA Account | t (If not marked, the default option | would be Regular A | Account) | | |
| Mode of receiving statement of accounts Electronic Physical (If not marked, the default option would be Electronic) | | | | | | |
| I authorize YES Securities (India) Ltd | I. to receive credits automatically into n | ny account Yes No (If not r | marked, the default | option wou | d be 'Yes') | |
| Receive SMS alerts with respect to | Demat transactions | Yes No (If not r | marked, the default | option wou | d be 'Yes') | |
| Whether you wish to receive: | | Physical contract not | e Electronic (| Contract N | ote (ECN) | |
| Account to be operated through DDP | 1 | Yes No | | | | |
| Register for e-Delivery Instruction | Slip (e-DIS) facility of CDSL | Yes No | | | | |
| Do you have a Demat Account with If Yes, reason of opening another I | h us with the same pattern of Holdin Demat account | yes No | | | | |
| I/ We instruct the DP to receive each | h and every credit in my / our account | t (If not marked, the default option wo | uld be 'Yes') | [Automat □ Yes | ic Credit] □ No | |
| | to accept all the pledge instructions marked, the default option would be | | er further | ☐ Yes | □ No | |
| Account Statement Requirement | ☐ As per SEBI Regula | ation □ Daily □ Weekly | ☐ Fortnightly | | Monthly | |
| I / We request you to send Electro | onic Transaction-cum-Holding Staten | nent at the email ID (as specified in | KYC form) | ☐ Yes | □ No | |
| I / We would like to share the ema | il ID with the RTA | | | ☐ Yes | □ No | |
| I / We would like to receive the An (Tick the applicable box. If not ma | nual Report □ Physical □ rked the default option would be in F | l Electronic □ Both Physical and Physical) | Electronic | | | |
| | terest directly in to my bank account will be 'Yes'], [ECS is mandatory for | | to time] | ☐ Yes | □ No | |
| SMS Alert facility: [Mandatory if y Ensure that the mobile number is p | ou are giving (DDPI). provided in the KYC Application Form] |] (Default is "Yes" if not indicated) | | ☐ Yes | □ No | |
| Easi | | t our website www.cdslindia.com. IN balances, transactions and value of | f the portfolio onlin | ☐ Yes le. | □ No | |
| Authorized to transfer DP debit to | respective trading code ledger | | | ☐ Yes | □ No | |
| MODE OF OPERATION FOR EXEC | CUTION OF TRANSACTIONS (Transfe | r, Pledge & Freeze) | □ Jointly □ | ☐ Any one | of holder | |
| Consent for Communication to be rebe first holder. | eceived by first account holder/ all Acco | unt holder : (Tick the applicable box. If | not marked the d | efault option | on would | |
| | 1st Authorised Signatory | 2nd Authorised Signatory | 3rd Authori | sed Sign | atory | |
| Signature D | | | | | | |
| 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 issued a Power of Attorney (POA) / registered for eDIS / executed PMS Agreement in favour of / with YES Securities | | | | | | |
| (India) Limited for executing | delivery instruction for settling stoc | | | | | |
| you for executing delivery ins | structions through eDIS. | | | | | |
| | re the Delivery Instruction Slips (DIS | | | | | |
| | reement in favour of / with YES Secu t related transaction) effected throug | | | | | |
| | S) booklet should be issued to me/us | | | 0510.110 | , , , , , , , , , , , , , , , , , , , | |
| Date: DDMMYYYY | | Р | lace | | | |
| | 1st Authorised Signatory | 2nd Authorised Signatory | 3rd Authori | sed Sign | atory | |
| Signature | , | | | J | | |

DECLARATION

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

- 3. 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.
- 4. 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.
- 5. I/We hereby consent to receive information from central KYC Registry through SMS/Email on the registered number/email address.
- 6. 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.

7. 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.

Name and Signature of Authorised Signatory(ies)

| Sr. No. | AUTHORISED SIGNATORY NAME | Signature(s)* |
|---------|---------------------------|--|
| | | Company Seal/Rubber Stamp should be affixed. |
| 1. | | |
| 2. | | |
| 3. | | |
| 4. | | |
| 5. | | |

| MODE OF OPERATION (In case of joint holdings, all the holders/ Authorised Signatories must sign) | | | | |
|--|-------------------------|--|--|--|
| ANY ONE SINGLY | AS PER RESOLUTION | | | |
| JOINTLY BY | OTHERS (PLEASE SPECIFY) | | | |
| Place | Date: DDMMYYYY | | | |

Schedule of Charges – DEMAT ACCOUNT

w.e.f. February 1, 2021

| Charge | Туре | Resident Individual/HUF | Basic Services Demat Ac | count (BSDA) |
|--|--|-------------------------------------|--|--|
| A/C opening Charges | | | Value of Holdings in the Demat Account (Debt as well as other | Maximum Annual Maintenance Charges |
| Annual Maintenance Charges (AMC) | | 7 OF (Monthly) | than debt securities combined) | Maintonanos snaiges |
| Annual Maintenance Charges(AMC) | | ₹ 25 (Monthly) | Up to INR 4 lakh | Nill |
| | | | More than INR 4 lakhs but up to INR 10 lakhs | INR 100 |
| Credit Transaction (Buy : Market & Off Ma | rket) | | More than INR 10 lakh | Not a BSDA. Regular AMC may be levied. |
| Debit Transaction (Market, Off Market, Inter- depository) | % of transaction value of each ISIN | 0.04% (Min ₹20) | 0.04% (Min ₹ 20) | |
| Danish distriction | Per Request Form | ₹30 | ₹30 | |
| Dematerialization | Per Certificate | ₹2 | ₹2 | |
| Rematerialisation | Per request form | ₹20 | ₹20 | |
| Closure of Account | | | | |
| Pledge | Creation/Clousre/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 / Invoca | ation | Rs. 10 | Rs. 10 | |

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

Terms and Conditions

(1.) All the above charges are exclusive of NSDL / CDSL Charges and will be charged at actuals. (2.) NSDL / CDSL charges are available on YES Bank website. Kindly visit https://www.yesbank.in/personal-banking/yes-individual/wealth-management/demat-account. (3.) The value of shares and charges are calculated as per NSDL /CDSL formula and rates. (4.) The depository services are liable to discontinuation if YES 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, time to time, with a notice of 30 days. The notice may be given by ordinary post or by an advertisement in a national daily. (7.) Annual Maintenance Charges are levied, in advance, for a period of one year at the beginning of the billing cycle. If the Demat Account is closed during the year, pro-rata refund of Annual Service Charge will be made. (8.) Government levies /Taxes chargeable extra as per applicable rates. (9.) Transaction charges will be payable monthly. (10.) To evaluate the eligibility of Basic Services Demat Accounts (BSDA) the value of holding will be determined on a daily basis, as per the file sent by the NSDL/CDSL. The AMC will be calculated at pro rata basis based on the value of holding of securities in the demat account. (11.) In case the demat account with BSDA facility does not meet the listed eligibility criteria as per guidelines issued by SEBI or any such authority at any point of time, such BSDA accounts will be converted to standard demat account without further reference to respective customers and will be levied standard charges. (12.) Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit instructions. (13.) Operating instructions of the piont 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 Securitie

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:

I/ We have understood and accepted the Schedule of Charges as stated here in above.

| | 1st Authorised Signatory | 2nd Authorised Signatory | 3rd Authorised Signatory |
|-------------|--------------------------|--------------------------|--------------------------|
| Signature 💮 | | | |

Brokerage Chart

| YES First | YES Premia | Invest Value Plan* (I | IVP) (*Applicable for | YES Prosperity, YES Grace, YCOP) |
|-----------|------------|-----------------------|-----------------------|----------------------------------|
|-----------|------------|-----------------------|-----------------------|----------------------------------|

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

Other Charges

- 1. Account opening fees as applicable
- 2. SEBI turnover fees as applicable

Place:

- 3. Exchange Transaction charges as applicable
- 4. Securities Transaction Tax (STT) / Commodity Transaction Tax (CTT) as applicable
- 5 GST as applicable
- 6. Stamp duty: Statewise stamp duty as applicable will be levied.
- 7. Education cess and higher Education cess as applicable.
- 8. In addition to the above YSL shall debit the demat charges applicable to the trading member to the client.
- 9. In case three 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.
- 10. 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.
- 11. Charges applicable for any other services availed if any.
- 12. With reference to the regulatory guidelines, please note that all your Expiry Exercise Assignment of Option Derivative contracts will attract Derivatives segment brokerage in line with your existing Brokerage Structure.

 Note: YES Securities Trading Account Opening
- Note: YES Securities Trading Account Opening Charges & Brokerage will be levied as per the Client category.

Minimum Brokerage Charged: Brokerage will be charged as per 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%

I/ We have understood and accepted the Schedule of Charges as stated here in above.

| | 1st Authorised Signatory | 2nd Authorised Signatory | 3rd Authorised Signatory |
|-------------|--------------------------|--------------------------|--------------------------|
| Signature ® | | | |



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 | |
| ALUMINI | | | | | | |
| ALUMINIUM | | | | | | |
| CARDAMOM | | | | | | |
| CASTORSEED | | | | | | |
| COPPER | | | | | | |
| COTTON | | | | | | |
| COTTONCNDY | | | | | | |
| CPO | | | | | | |
| CRUDEOIL | | | | | | |
| GOLD | | | | | | |
| GOLDGUINEA | | | | | | |
| GOLDPETAL | | | | | | |
| KAPAS | | | | | | |
| LEAD | | | | | | |
| LEAD MINI | | | | | | |
| MCXBULLDEX | | | | | | |
| MCXENRGDEX | | | | | | |
| MCXMETLDEX | | | | | | |
| MENTHAOIL | | | | | | |
| NATURALGAS | | | | | | |
| NICKEL | | | | | | |
| PEPPER | | | | | | |
| RUBBER | | | | | | |
| SILVER | | | | | | |
| STEEL REBAR | | | | | | |
| ZINC | | | | | | |
| ZINC MINI | | | | | | |
| SUNOIL | | | | | | |
| COTTONOIL | | - | | | | |
| REFSOYOIL | | | | | | |
| ELECTRCITY | | | | | | |
| BRASS | | | | | | |
| CRUPALMOIL | | | | | | |
| RBDPALM | | | | | | |

Category Explanation

- 1) Farmers/FPOs: It includes participants such as farmers, farmers' cooperatives, Famers Producers Organizations (FPOs) and such entities of like nature.
- 2) Value chain participants (VCPs): It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stuckists, Cash & Carry participants, Produces, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs.
- 3) **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.
- 4) Foreign participants: It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets.
- 5) Others: All other participants which cannot be classified in the above categories.





(This document is Mandatory in case of HUF account executing Power of Attorney)

NO OBJECTION CERTIFICATE/POWER OF ATTORNEY [HUF DEMAT/ TRADING ACCOUNT]

| To, YES: Mum | Securities (India) Ltd. bai | | | | | |
|--------------------|---|-----------------------------|--------------------------------------|---|---|---|
| Dear | Sir/ Madam, | | | | | |
| | | Sub: [| Declaration of Co | parcener(s) | | |
| have transa | hereby declare that I/we are coparceners of the opened Trading and/or Demat account with yo actions and to do all such needful acts/deeds in er/it to act on behalf of the HUF and Coparcener | u under HUF our Demat/Tr | category.I/We her ading account. I/W | eby declare that lefe further authorize | /We am/are author e the Karta to app | orizing the said Karta to execute the oint any other attorney and authorize |
| BO A | ACCOUNT DETAILS: | | | | | |
| DP I | D: CDSL DP ID: 12094600 | | Client ID: | | Log | in ID: |
| LIST | OF COPARCENERS: | | | | | |
| Sr. No. | Name | Sex [M/F] | Date of Birth | Relationship with Karta | PAN No. | Signature |
| 1. | | | | | | Elga . |
| 2. | | | | | | €Z |
| 3. | | | | | | Q ₁ |
| 4. | | | | | | |
| 5. | | | | | | |
| 6. | | | | | | No. |
| | hereby state that the details mentioned as about | | , , | | timated to you in | writing. |
| | | | | | | |
| Sign | ature & Stamp of Karta alongwith stamp of | HUF: | 603 | | | |
| | | | | | | |
| | | | | | | |
| Place | 9: | | | | | |
| Date | : | | | | | |
| | | | | | | |

FATCA - CRS DECLARATION FOR ENTITIES

(Please Seek Advice From Your Tax Adviser And/or Refer Fatca & Crs Guidelines For Tax Residency & Other Related Information In This Form)

| | To Tax Residency a Saist Related information in Time Fermi, | | | | | |
|---|---|--|--|---|---------------------------------------|--|
| | | | | PART - I | | |
| A. | Interna | account holder a Government body/ tional (Organization/listed company ognized stock exchange.) | | Yes,please specify name of Stock if you are listed company proceed to sign the declaration No, then proceed to point B | exchange,, and | |
| В. | | account holder a (entity/financial institution) ident of any country other than india | | Yes,then Please fill of FATCA/CRS | S self certification Form | |
| C. | Is the a | account holder and indian financial | | No,Proceed to Point C Yes , Please provide your GIIN, if any | | |
| | | | | No,Proceed to Point D | | |
| D. Are the substantial owners or controlling persons in the entity or chain of ownership resident for tax | | | | Yes ,(then please fill FATCA/CRS | self certification From) | |
| purpose in any country outside India or not and Indian Citizen No, Proceed to Sign the Declaration | | | | | on | |
| | CLIENT DECLARATION | | | | | |
| 1. 11. 2. T 1. 11. | Under Penalty of perjury, I/We Certify that: The Applicant Is: An applicant taxable as a US person under the laws of the united states of America("U.S.") or any state or political sub division there of or therein, including the district to Columbia or any other states or the U.S. An estate the income of which is subject to U.S. federal income Tax regardless of the source thereof. (this clause is applicable only if the account holder is identified as a us person) The Applicant is an applicant taxable as a tax resident under the lows of country outside India. I/We understand that the bank is relying on this information for the purpose of determining the status of the applicant named above in compliance with FATCA/CSR. The bank is not able to offer any tax advice on FATCA/CSR or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions. I/We agree to submit a new form within 30day's if any information or certification on this form becomes incorrect. I/We agree that as may be required by domestic regulators/tax authorities the bank may also be required to report, reportable details to CBDT or close or suspend my account V. I/We certify that I/We provide the information on this form and to the best of my/our knowledge and belief the certification is true, correct, and complete including the taxpayer identification number of the applicant | | | | | |
| | | | | | Date DDMMYYYYYY Authorised Signatory | |
| SIGNA | ATURE | 20 Partitions of Grants 19 | | - Segulatory | 2.5 | |
| | | | | | | |

PART II SELF CERTIFICATION FORM (EQUITY) FOR FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") AND COMMON REPORTING STANDARD.

| Sect | ion 1: Entity Information | | | | |
|------|---|--|----------------|--|---------------------------------------|
| 1 | Name of Entity | | | | |
| 2 | Customer Id (if Existing) | | | | |
| 3 | Entity Constitution Type | A- Sole Proprietorsh D-Private Limited Co G-AOP/BOI J-Limited Liability Pa X-Not Categorised | mpany | ■ B - Partnership Firm ■ E - Public Limited Company ■ H - Trust ■ K- Artificial Juridical Person | C-HUF F-Society I-Liquidator Z-Others |
| 4 | Entity Identification No | T-TIN () C | | Identification Number nber (EIN) | G-US GIIN O-Other |
| 5 | Entity Identification No (based on entity identification type) | | | | |
| 6 | Entity Identification issue Country | | | | |
| 7 | Entity Identification | | | | |
| Sect | ion 2: Classification of Non-Financial Entities | | | | |
| I/We | (on behalf of the entity) Certify that the entity is | | | | |
| A. | An entity Incorporated and taxable in US Specified (Us | person) | Yes | No | |
| | If "Yes", Please provide your U.S. Taxpayer Identification Number (Tin) | | | | |
| _ | An entity incorporated and taxable ouside of India (Other Than US) | | Yes | No | |
| B. | If "Yes" Please provide your TIN or Its functional equivale | ent | | | |
| | Provide your Tin issue Country | | | | |
| C. | Please provide the following additional details if you a FATCA/CRS classification for Non financial Entit | | rson | | |
| | Active NFFE | | | E without any controlling person | |
| | Passive NFFE With Controlling Person → | | JS O | ther | |
| | Direct reporting NFFE (choose this if any entity bank is not required to do the reporting) Please provide GIIN No: | has registered itself for d | irect reportir | ng for FATCA and thus | |
| Sect | ion 3: Classification of financial institutions (Inclu | ding Bank) | | | |
| I/W | e (on behalf of the entity) Certify that the entity is | | | | |
| A. | An entity is a U.S. financial institution | Yes | No | | |
| i | If "Yes", Please provide your Taxpayer Identification Number (tin / ein) | n | | | |
| ' | Please provide GIIN, if any | | | | |
| ii | If No please tick one of the following boxes below: | | | | |



| | | FATCA classification | | | oal intermediary identification wher | |
|---------|----------------------|---|---|---|---|---|
| | | n financial institution in a r reement ("IGA") jurisdictio | I | | | |
| | Reporting foreign f | inancial institution in a mode | I 2 IGA jurisdiction | | | |
| | Participating FFI IN | l a Non-IGA jurisdiction | | | | |
| | Non-reporting FI | | | | | |
| | Non-Participating F | = | | | | |
| | Owner-Documente | ed FI with specified US owne | rs | | | |
| | | | | | | |
| Secti | on 4 : Controlling | person Declaration | | | | |
| | | as "passive NFFE wit vide the following deta | | s)" or " Owner docume | ented FFI" or "Specifie | d US |
| | of Controlling | Correspondence Address | Country of Resident for Tax Purpose | TIN | TIN issuing Country | Controlling Person Type |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| | | | | | | |
| Detail | s | Controlling Person 1 | Controlling Person 2 | Controlling Person 3 | Controlling Person 4 | Controlling Person 5 |
| Identif | ication Type | A - Passport B - Election Id Card C - PAN Card D - ID Card E - Driving License G - UIDAI Letter H - NREGA Job Card Z - Others X - Not Categorised | A - Passport B - Election Id Card C - PAN Card D - ID Card E - Driving License G - UIDAI Letter H - NREGA Job Card Z - Others X - Not Categorised | A - Passport B - Election Id Card C - PAN Card D - ID Card E - Driving License G - UIDAI Letter H - NREGA Job Card Z - Others X - Not Categorised | A - Passport B - Election Id Card C - PAN Card D - ID Card E - Driving License G - UIDAI Letter H - NREGA Job Card Z - Others X - Not Categorised | A - Passport B - Election Id Card C - PAN Card D - ID Card E - Driving License G - UIDAI Letter H - NREGA Job Card Z - Others X - Not Categorised |
| Identif | ication Number | | | | | |
| Occup | oation Type | S - Service B - Business O - Others X - Not Categorised | S - Service B - Business O - Others X - Not Categorised | S - Service B - Business O - Others X - Not Categorised | S - Service B - Business O - Others X - Not Categorised | S - Service B - Business O - Others X - Not Categorised |
| Occup | ation | | | | | |
| Birth [| Date | | | | | |
| Nation | nality | | | | | |
| Count | ry of Birth | | | | | |
| | | | | | | |

Section 5: Declaration

Name.

I. Under Penalty of Perjury, I/We Certify That:

- 1. The Number shown on this form is the correct taxpayer identification number of the applicant, and
- 2. The applicant is (i) an applicant taxable as a US person under the laws of the United states of America("U.S") or any state or political subdivision thereof or therein, including the district of Columbia or any other states of the U.S., (ii)an estate the income of which is subject to U.S federal income tax regardless of the source thereof or
- 3. The applicant is an applicant taxable as a tax resident under the laws of country outside India.
- II. I/We understand that the Bank is relaying on this information for the purpose of determining the status of the applicant named above in compliance with CRS/FATCA. The Bank is not able to offer any tax advice on CRS or FATCA or its impact on the applicant. I/We shall seek advice from professional tax advisor for any tax questions,
- III. I/We agree to submit a new form within 30 days if any information or certification on this form gets changed.
- IV. I/We agree as may be required by/Regulatory authorities, Bank shall be required to comply to report, reportable details to CBDT or Close or suspend My account.
- V I/We certified that I/We provide the information on this form and to the best of my/Our knowledge and belief the certification true, correct and complete including the tax payer identification number of the applicant.
- I/We here by confirm that details provided are accurate, Correct and complete

| | Authorised Signatory | Authorised Signatory | Authorised Signatory |
|-----------|----------------------|----------------------|----------------------|
| SIGNATURE | 3 | | |
| Name | | | _ Date |

| Name | |
|---------------------------------------|------------------------------|
| | |
| Date: DDMMYYYYY | Non Solicitation Declaration |
| To, YES Securities (India) Limited | |
| 123 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.

| | Authorised Signatory | Authorised Signatory | Authorised Signatory |
|-----------|----------------------|-----------------------------|----------------------|
| SIGNATURE | 23 | | |

Date

AUTHORISATIONS - THIS DOCUMENT IS VOLUNTARY



Tο

YES Securities (India) Limited, Mumbai

Dear Sir / Madam,

(I) Authorisation to maintain account on running account basis $\ \square$ Yes $\ \square$ 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 below, 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 \square Yes \square 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.





(IV) Receiving electronic contract notes and statements through email \Box Yes \Box 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) I 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, agenda 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

Client Code:

- 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.
- 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.



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



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

(A) Refusal of orders for Penny Stocks:

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

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

(B) Setting Up Client's exposure Limits:

Setting Up Client's exposure Limits and margin information including short fall of margins available on website in the trading account or intimated through approved means to be constituted as a valid margin call. Exposure is allowed to the clients based on the margin available in form of funds or approved securities or commodities valued after deducting an appropriate haircut as per the rates prescribed by Exchange/YSL. Client is liable to pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the Exchange. Further YSL at its discretion may collect additional margin or may even reduce the margin even though not required by the Exchange. Clients are supposed to maintain sufficient balance with YSL pre-trade depending on the channel through which they trade. YSL may levy additional margins or relax the margins earlier imposed based on factors such as, client level positions, volatility in a particular stock or commodity the market in general. Further, the client will have access to details pertaining to margin requirements, shortfall of margin on a real-time basis on the website itself where he can ascertain details of his existing margin blocked, margins required, MTM loss adjustment, margin percentage etc. The margin requirement specified on the website in the trading account of the online client will be construed as a valid demand for the additional margin required by YSL. Disseminating this information in the client account on the website will be considered as informing specific (one to one) clients about the margin requirements/margin top up calls/margin availability before the square off. Clients are bound to monitor and review their open positions and margin requirements all the times and furnish the additional margin to YSL. Though it shall be our endeavor to ensure that a proper notice may be sent to the clients, this may not always be possible taking into consideration the market scenario on a real time basis. Exposure allowed to clients may vary, basis the clients past trading performance, quality of collateral, market circumstances and dynamics and other such factors. Clients may trade themselves through the internet or may trade through the 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 ofany 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 YSLto 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 priorinformed to the client with reasonable time for client to act on the same. The client agrees to pay YSL, brokerage, Exchange relatedcharges, 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 memberrenders to the client as mutually agreed. YSL does not charge brokerage more than the maximum brokerage permissible as per therules and regulations and bye laws of the Exchanges/SEBI. However, the minimum brokerage as stipulated by the Exchanges will belevied. 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 9.



(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 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 construe 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 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 the there is no shortfall of margin.
- YSL shall endeavor to provide additional facility besides making available the margin details on website in the trading account to facilitate the clients towards ensuring adequate margin to avoid liquidation of open position. This information should be constituted as prior information given to the client before liquidation of their positions. YSL may endeavour to inform the client on the registered mobile number and or email id updated with YSL. For clients to whom a login and password is given to access their account on the website www.yesinvest.in, or such other URL that may be provided and informed by YSL from time to time, where they are required to login and check the limit statement uploaded therein. It shall be the clients' responsibility to ensure that adequate credit balance is available in the account. The above guidelines may be changed based on the discretion of YSL and in terms of the market conditions. In cases where the market is volatile and there is a sudden spurt in scrip price then YSL may square off position without any notice due to the paucity of time and other such circumstances
- Whenever YSL endeavors that the positions are to be liquidated, it shall not be responsible for any liabilities in case the same cannot be liquidated.
- The priority of the positions to be squared off, i.e. which positions to be squared off first, would be at the discretion of YSL. YSL may follow the following priority for squaring-off positions:
 - a. Lower Margin scrip's (securities or commodities) will be squared off first.
 - b. Only futures position will be squared off (option position may be square off manually)
 - c. In case where there is a position in cash and derivative segment, options positions would be squared off first followed by futures positions and then cash positions would be square off in case shortfall still exist.
- In case of default by a client of YSL who has pledged securities with YSL, YSL shall invoke the pledge.
- In case of default by a client of YSL where the client's securities are re- pledged with the CM/ CC, the invocation request shall be
 made by the TM to CM and CM in turn will make request to CC as per the procedure laid down by the Depositories under their byelaws.
- 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 on the basis of the risk management systems of YSL.
- d) In case where YSL is apprehensive of the client to be an entity debarred by any regulatory authority, it shall retain the right to stop the trading activities of such a client.
- e) In case where YSL perceives risk with regards to any regulatory action or with regards to delay or non-payment of margin or any other lawful obligation YSL may temporarily block or suspend the trades of such clients.
- f) In case where suspicious transactions are observed, including but not limited to off market transactions.
- g) In case where clients are not reachable at their contact details mentioned in the client registration form or in the client master changes form.
- h) In case where unprofessional, or unruly behavior of the client is observed.
- i) Further in case of clients breaching the risk parameters mentioned in point E above we may close the clients' positions without any intimation.
- j) Client can initiate suspend/closure of his account by giving 30 days written notice duly acknowledged by YSL
- k) YSL has the sole discretion to dis-continue the relationship. The terms and conditions as specified in the AOF are applicable.
- I) Receipt of a binding order from the regulator/authority.
- m) Any of the covenant or warranty of the client is incorrect or untrue in any material aspects.

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

(H) Inactive 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:

- 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
- 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/VIPV) requirement, specified in the regulators (SEBI Master Circular on KYC dated October 12, 2023)

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

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

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

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

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

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

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

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

Steps to Freeze Account

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

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

Kindly note:

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

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

Impact on Freezing Account

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

Kindly Note:

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

Steps to Unfreeze Account

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

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



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

Kindly Note:

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

(J) Guidelines on Margin collection & reporting

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

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

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

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

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





Signature of Client

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

| Schedule I - Client's Details | |
|-------------------------------|--|
| DP ID:12094600 | Name of DP: YES Securities (India) Limited |
| DP Client ID: | Trading Code (UCC): |
| First Holder Full Name: | |
| Address: | |
| | |
| | |

| Schedule II - Details of Stock Broker's Demat Accounts Details (YES Securities (India) Limited) | | | | | | |
|---|------------------|--|-----------------------------------|--------------------------------|--|--|
| Name of Depository Participant | YES BANK Limited | | Name of Depository Participant | YES Securities (India) Limited | | |
| Depository | DP ID | Client ID | Depository | DP ID | Client ID | |
| NSDL | IN303270 | 10055450 11030078 10957144 10055468 10957136 10957128 | CDSL | 12094600 | 00000100 00000041 00000212 00000115 00000149 00000227 | |
| | IN301330 | 40514507 | | | 00000168 | |

| 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 | 1st Holder 22 2nd Holder SH-2 3rd 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. | 1st Holder (25) 2nd Holder SH-3 3rd Holder TH-3 |
| 3 | Mutual Fund Transactions being executed on Stock Exchange order entry Platforms | 1st Holder (26) 2nd Holder SH-3 3nd Holder TH-3 |
| 4 | Tendering shares in open offers through Stock Exchange Platforms | 1st Holder 27) 2nd Holder SH-3 3rd Holder TH-3 |

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



General Clause

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

Beneficial Owner information

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

Fees/Charges/Tariff

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

Dematerialization

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

Separate Accounts

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

Transfer of Securities

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

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



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.
 - 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.



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

| Date : | | | | | |
|--------------------------------------|--|---|--|-------------------------------------|---------------|
| AFL Hous Lok Bhart | EURITIES (India) Limited se, 4th Floor, ii Complex, Marol Maroshi Road, E), Mumbai - 400 059, Maharashtra. | | | | |
| Subject : | Common Mobile number / Email ID for Trading ac | counts of Family Members | | | |
| Dear Sir, | | | | | |
| I, Mr/Ms_ and E-ma for your ir | ail ID | is regi | would like to confirm that the stered in my name. I am end | | aid bill |
| which I has SMS/Ema | state that with my full knowledge I have consented ave no objection. All the transactions in their account belonging to them which are sent by you to me below clients also do not have any objection to the | unts are not only done as per on my above mobile number/ e same, in consent they have | their respective instructions email id also signed | but they are well conveyed by me of | |
| Sr. No. | Client Name | Trading Code | Relation | Signature | |
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| | | | | | |
| However, | in case of any further regulatory requirements, I u | ındertake to abide upon heari | ng from you. | | |
| Thanking | You. | | | | |
| | | | | | |
| | | | | | |
| | | | | | |
| Signature | : | | | | |



INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS

- 1. Self attested copy of PAN card is mandatory for all clients.
- Copies of all the documents submitted by the applicant should be self attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- 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/PIOCard/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(P0I): 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.)
- 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.
- 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 apostiled or consularised) that gives the registered address should be taken.
- 8. The proof of address in the name of the spouse maybe accepted.
- D. Exemptions/clarifications to PAN

 (*Sufficient documentary evidence in support of such claims to be collected.)
- 1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
- 2. Investors residing in the state of Sikkim.
- 3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- 4. SIP of Mutual Funds upto Rs 50,000/- p.a.
- 5. In case of institutional clients, namely, Flls, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.
- E. List of people authorized to attest the documents:
- 1. Notary Public, Gazetted Officer Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.
- F In case of Non-Individuals, additional documents tp be obtained from non-individuals, over & above the POA& POA, as mentioned below;

| Type of Entity | Additional Documents Required over and above PAN, POI and POA |
|---|--|
| Corporate | Copy of Balance Sheet for the last to financial years (to be submitted every year). Copy of latest share-holding pattern including the list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover regulations, duly certified by the company secretary/ whole time director/ MD (to be submitter every year). Photograph, POI, POA, PAN and DIN number of the whole time Director/ 2 directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control—either directly or indirectly. Copy of Memorandum and Articles of Association and Certificate of Incorporation. Copy of Board Resolution for Investment in security markets. Authorized signatories list with specimen signatures. Shareholding pattern. |
| Partnership Firm | Copy of Balance Sheet for the last to financial years (to be submitted every year). Certificate of Registration (for registered partnership firms only). Copy of Partnership Deed. Authorized signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners. Shareholding pattern. |
| Trust | Copy of Balance Sheet for the last to financial years (to be submitted every year). Certificate of Registration (for registered Trusts only). Copy of Trust Deed. List of Trustees certified by Managing Trustees/ CA Photograph, POI, POA, PAN of Trutees. |
| HUF | PAN of HUF. Deed of Declaration of HUF or List of Co-Parceners. Bank Passbook / Bank statement in the name of HUF. Photograph, POI, POA, PAN of KARTA. |
| Banks/Institutional Investors | Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years Is Authorized signatories list with specimen signatures. |
| Unincorporated Association or a Body of Individuals | Proof of existence or Constitution document. Resolution of Managing Body and power of Attorney granted to transact business on its behalf. |
| Army/Government Bodies | Copy of Constitution/Registration or Annual report/Balance Sheet for the last 2 financial years. Authorized signatories list with specimen signatures. |
| Army/Government Bodies | Self certification on letterhead.Authorized signatories list with specimen signatures. |
| Registered Society | Copy of Registration Certificate under Society Registration Act. List of managing committee members. Committee Resolution for persons authorized to act as authorised signatories with specimen signatures. True copy of society rules and by-laws certified by Chairman/Secretary. |
| FPI Category I | FPI Certificate Constitution Documents Copy of Board Resolution (optional) Shareholding pattern and Ultimate Beneficiary Owners List (UBO) Authorized signatories list with specimen signatures. |
| FPI Category II | FPI Certificate Constitution Documents Copy of Board Resolution Shareholding pattern and Ultimate Beneficiary Owners List (UBO) with UBO proof of identity Authorized signatories list with specimen signatures. |

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

Important:

- 1.Sign in the place provided for "Signature of Authorised Signatory" within the box "For Office USE Only" on the KYC Form and
- 2. Affix the IPV stamp along-with the signature on the relevant supporting documents pertaining to Proof of Identity & Proof of Address.

| FOR OFFICE PURPOSE ONLY | | | | | | | |
|---|-------------|------------------|-----------------|----------|-----------------------|-----------|---|
| 1. CLIENT RISK CATEGORISATION UN | NDER PMI | _A: | LOW | RISK | MEDIUM I | RISK | HIGH RISK |
| 2. SOURCING & SERVICE RM/ SALES | EXECUTI | VE/ FAN NAME | & CODE | | | | |
| | | COD | E | | | NAME | |
| Introducer | | | | | | | |
| Group Code | | | | | | | |
| Remiser (if any) | | | | | | | |
| Branch / FAN / AP | | | | | | | |
| 3. SUBMISSION CHECKLIST | | | | | | | |
| Complete Documentation Received Werifed with Original" stamp affixed or | n proofs | | | give d | etails | | |
| | | cuments verifed | I with Original | ls | Client Interview | ed Bv | In-Person Verifcation done by |
| Name of the Employee | | | With Original | | Onone intol viol | lou by | in rototi vomation acito by |
| Employee Code | | | | | | | |
| Designation of the employee | | | | | | | |
| Date | | | | | | | |
| Signature | | | | | | | |
| 3. "PAN verifed" stamp with Employee na | ame & sign | ature affixed on | proof | | Yes | No | |
| 4. Margin Money collected Yes No Amount in Rs Rs. (in words) | | | | | | | |
| Chq./ CMS No: Chq./ CMS. Date: D D M M Y Y Y Y Bank Name | | | | | | | |
| I/We undertake that we have made the cl client aware of 'Rights and Obligations' do | | • | | ariff sh | neet and all the non- | -mandator | y documents. I/We have also made the |
| 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 | | | lad than a nan | altvu | ould be charged to | mo or any | other action may be taken as deemed fit |
| I have read and understood 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) Ltd | d.: | | | | Employe | e Code : |
| Employee Signature & Stamp : | | | | | | | Date D D M M Y Y Y Y |
| 4. KRA REGISTRATION DETAILS (FOR | ROFFICE | PURPOSE ONI | Y) | | | | |
| If Client is already registered with KRA | | | | | | | |
| NDML CVL DOTEX Others (Please Specify) | | | | | | | |
| (Please furnish photocopy of KRA Registration letter) | | | | | | | |
| KRA Registration No.: | | | | | | | |
| Date of Registration: | YYY | Y | | | | | |



Dear Customer,

Greetings from YES SECURITIES!

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

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

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

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

Sincerely, YES Securities (India) Limited

www.yesinvest.in

E-Mail: customer.service@ysil.in

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

✓ YES SECURIT↑ES

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.
- 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 ld 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: | |





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

ALL BURNET BURNE



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

| шірі | rotant Instructions: | | |
|------------------|--|---|--|
| A) I | Fields marked with '*' are mandatory elds. | G) | List of two character ISO 3166 country codes is available at the end. |
| B) - | Tick '√' wherever applicable. | H) | Please read section wise detailed guidelines / |
| C) I | Please II the date in DD-MM-YYYY format. | , | instructions at the end. |
| D) I | Please II the form in English and in BLOCK letters. | I) | For particular section update, please tick (\checkmark) in the |
| - | KYC number of applicant is mandatory for update application. | | box available before the section number and strike off the sections not required to be updated. |
| , | List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end. | | |
| For | office use only | | |
| Appli | ication Type* | | |
| (To b | e filled by financial institution) KYC Number | | (Mandatory for KYC update request) |
| | 1. ENTITY DETAILS* (Please refer in instruction A at | the e | nd) |
| Nam | y Constitution Type* Others (Specify) | | Please refer instuction B at the end) |
| Date | of Incorporation / Formation* DDMMYYYY | Date | of Commencement of Business DDMMYYYY |
| Place | e of Incorporation / Formation* | | Country of Incorporation / Formation* |
| TIN | or Equivalent Issuing Country PAN* | | |
| TIN | / GST Registration Number | | |
| | 2. PROOF OF INDENTITY (Poi) (Please refer in instru | ıctior | B at the end) |
| | Of cially valid document(s) in respect of person authoris | sed to | o transact |
| = | Certi cate of Incorporation / Formation | | |
| | Mamarandum and Articles of Association | | |
| | Memorandum and Articles of Association | _ | Registration Certi cate Regn Certi cate No. |
| | Resolution of Board / Managing Committee | | Partnership Deed Trust Deed |
| | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em | ıploy | Partnership Deed Trust Deed ees to transact on its behalf |
| | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) | iploy | Partnership Deed Trust Deed |
| | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end | iploy | Partnership Deed Trust Deed ees to transact on its behalf |
| | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end 3.1. Registered Office Address / Place of Business* of of Address* Certi cate of Incorporation / Registered Place of | iployo) | Partnership Deed Trust Deed ees to transact on its behalf Activity Proof - 2 (For Sole Proprietorship Only) |
| Proo | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end 3.1. Registered Office Address / Place of Business* of of Address* Certi cate of Incorporation / Reference of Address / Formation |) egistra | Partnership Deed Trust Deed ees to transact on its behalf Activity Proof - 2 (For Sole Proprietorship Only) |
| Proo City | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end 3.1. Registered Office Address / Place of Business* of of Address* Certi cate of Incorporation / Formation Ce Cetti Cate of Incorporation / Formation District |) egistri certi ce | Partnership Deed Trust Deed ees to transact on its behalf Activity Proof - 2 (For Sole Proprietorship Only) ation ate Other Document |
| Proo City PIN | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end 3.1. Registered Office Address / Place of Business* of of Address* Certi cate of Incorporation / Formation / Town / Village* District / Post Code* | egistr. | Partnership Deed Trust Deed ees to transact on its behalf Activity Proof - 2 (For Sole Proprietorship Only) |
| Proo City PIN | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end 3.1. Registered Office Address / Place of Business* of of Address* Certi cate of Incorporation / Formation / Town / Village* District / Post Code* 3.2. Local Address in India (If different from Above) | egistra erti ca t* U.T. | Partnership Deed |
| Proo City PIN | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end 3.1. Registered Office Address / Place of Business* of of Address* Certi cate of Incorporation / Formation / Town / Village* District 3.2. Local Address in India (If different from Above) / Town / Village* District | pploye pegistr. erti ca t* U.T. tict* | Partnership Deed |
| Proo City PIN | Resolution of Board / Managing Committee Power of attorney granted to its manager, of cers or em Activity Proof - 1 (For Sole Propritorship Only) 3. ADDRESS* (Please refer in instruction C at the end 3.1. Registered Office Address / Place of Business* of of Address* Certi cate of Incorporation / Formation Ce / Town / Village* District 3.2. Local Address in India (If different from Above) / Town / Village* District State / Post Code* ISO | ployon) egistri erti ca t* U.T. | Partnership Deed |



| 5. APF | LICA | NT DE | CLART | 101 | (Plea | ise re | fer | in ir | str | uctic | n G a | at the | end) |
|----------|------|-------|---------|-----|-------|--------|-----|-------|-----|-------|--------------|--------|------|
| I hereby | | | details | | | | | | | | | | the |

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

I/we hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Signature/Thumb Impression of Authorized Person(s)

| Date: DDMMYYY | Y Y Place: [| | | | | | | | | | | | | | |
|----------------------|---------------|------------|-------|----------|-------|------|---|--|----|------|--------|-----|------|--|--|
| 6. ATTESTATION / I | FOR OFFICE US | E ONLY | | | | | | | | | | | | | |
| Documents Received | Certi ed C | opies | Equi | valent e | docur | nent | | | | | | | | | |
| | KY | C VERIFICA | TION | CARRI | ED OL | JT B | Y | | | | | | | | |
| Identity veri cation | Done | Date D | D M I | M Y Y | YY | | | | | | | | | | |
| Emp. Name | | | | | | | | | | | | | | | |
| Emp. Code | | | | | | | | | | | | | | | |
| Emp. Designation | | | | | | | | | | | | | | | |
| Emp. Branch | | | | | | | | | En | npol | yee Si | gna | ture | | |

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

- A Clari cation / Guidelines for Iling Entity Detials section
 - 1 Entity Constitution Type

A - Sole Proprietorship

H- Trust

O - Ariti cal Jurisdical Person

B - Partnership Firm

I - Liquidator

P - International Organisation or Agency /

C - HUF

J - Limited Liability Partnership Foreign Embassy or Consular Of ce etc

D - Private Limited Company

K - Arti cal Liability Partnership Q - Not Categorized

E - Public Limited Company

L - Public Sector Banks

R - Others

F - Society

M - Central/state Government

S - Foreign Portfolio Investors

G - Association of Persons (AOP) /

Department or Agency

Body of Individuals (BOI)

N - Section 8 Compaines

(Companies Act, 2013)

- 2 In case of companies and partnerships, PAN of the entity is mandatory.
- B Clari cation / Guidelines for Iling 'Proof of identity[Pol]' section
 - 1 Activity Proof 1 and Activity Proof 2 are applicable for accounts in case of proprietorship rms. Please refer to relevant instruction issused by the Reserve Bank of India in this regard.
 - 2 Please refer to the relevant instruction issued by the regulator regarding aplicable documents for the legal entity
 - 3 Certi ed copy of the document or equivalent e-document or OVD obtained through Digital KYC process to be submitted.
 - 4 'Equivalent e-document' means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of Information by Intermediaries Providing Digital Locker Facilities) Rules, 2016.
 - 5 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005.
 - 6 KYC requirements for Foreign Portfolio Investors (FPIs) will be as speci ed by the concerned regulator from time to time.
- C Clari cation / Guidelines for Iling 'Proof of Address [PoA]' section
 - 1 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - 2 Certi ed copy of document or equivalent e-document to be submitted.

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- D Clari cation / Guidelines for Iling ' Contact Details' Section
 - 1 Please mention two-digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-99999999).
 - 2 Do not add '0' in the beginning of Mobile number.
- E Clari cation / Guidelines for Iling 'Related Person Details' section
 - 1 Personal Details
 - The name should match the name as mentiones in the Proof of Identity submitted failing which the application is liable to be rejected.
 - 2 Proof of Address [PoA]
 - PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not
 in force.
 - State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
 - · In case of deemad PoA such as utility bill, the document need not be uploaded on CKYCR
 - REs may use the Self Declaration check box where Aadhaar authentication has been carried out successfully
 for a client and client wants to provide a current address, dientity
 information available in the Central Identities Data Repository
 - 3 If KYC number of Related Person is available, no other details except 'Person Type' and 'Name of the Related Person' are required.
 - 4 Regulated Entity (RE) shall redact (rst 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof of possession of Aadhaar, while uploading on CKYCR.
- F Provision for capturing signature of multiple authorised persons is to be made by the RE.

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



| | | List of ISO 310 | 66 tw | o digit Country Code | | | |
|--|------|---------------------------------------|-------|--|------|---|------|
| Country | Code | Country | | Country | Code | Country | Code |
| Afghanistan | AF | Dominic Republic | DO | Libya | LY | Saint Pierre arid Miqueton | PM |
| Aland Islands | AX | Ecuadot | EC | Liechtenstein | LI | Saint Vimerit and the Grenadines | VC |
| Albania | AL | Egypt | EG | Lithuania | LT | Samoa | WS |
| Astoria | DZ | El Saleader | SV | Luxembourg | LU | San Marino | SM |
| American Samca | AS | Equatorial Guinea | GO | Macao | МО | Sao Tome and Principe | ST |
| Andorra | AD | Entrea | ER | Macedonia, the former Yugoslav Republic o | f MK | Saudi Arabia | SA |
| Angola | AO | Estonia | EE | Madagascar | MG | Senegal | SN |
| Anguilla | Al | Ethiopia | ET | Malawi | MW | Serbia | RS |
| Antarctica | AQ | Falkland Islands (Malvinas) | FK | Malaysia | MY | Seychelles | SC |
| Antigua and Barbuda | AG | Faroe Islands | FO | Maldives | MV | Sierra Leone | SL |
| Argentina | AR | Fiji | FJ | Mall | ML | Singapore | SG |
| Armenia | AM | Finland | FI | Malta | MT | Sint Maarten (Dutch part) | SX |
| Aruba | AW | France | FR | Marshall Island | MH | Slovakia | SK |
| | AU | French Guiana | GF | | MC | Slovenia | SI |
| Australia | | | | Martinique | | | |
| Austria | AT | French Polynesia | PF | Mauritania | MR | Solomon Island | SB |
| Azerbaijan | AZ | French Southern Territories | TE | Mauritius | MU | Somalia | so |
| Bahamas | BS | Gabon | GA | Moyotte | YT | South Africa | ZA |
| Bahrain | BH | Gambia | GM | Mexico | MX | South Georgia and the South Sandwich Island | |
| Bangladesh | BD | Georgia | GE | Micronesia, Federated States of | FM | South Sudan | SS |
| Barbados | BB | Germany | GE | Moldova, Republic of | MD | Spain | ES |
| Belarus | BY | Ghana | GH | Monaco | MC | Sri Lanka | LK |
| Belaiurn | BE | Gibraltar | GI | Mongolia | MN | Sudan | SD |
| Eelize | BZ | Greece | GR | Monlenegro | ME | Suriname | SR |
| Benin | BJ | Greenland | GL | Montserrat | MS | Svalbard and Jan Mayen | SI |
| Bermuda | BM | Grenada | GD | Morocco | MA | Swaziland | SZ |
| Bhutan | ВТ | Guadeloupe | GP | Mozambique | MZ | Sweden | SE |
| Plurinational State of | ВО | Guam | GU | Myanmar | MM | Switzerland | CH |
| Bonaire, Sint Eustatius and Saba | BQ | Guatemala | GT | Nambia | NA | Syrian Arab Republic | SY |
| Bosnia and Herzegovina | ВА | "Guernsey | GG | Nauru | MZ | Taiwan province of china | TW |
| Botswana | BW | Guinea | GN | Nepal | NP | Tajikistan | TJ |
| Bouvet Island | BV | Guinea-Bissau | GW | Netherlands | NL | Tanania, United Republic of | TZ |
| Brazil | BR | Guyana | GY | New Caledonia | NC | Thailand | TH |
| British Indian Ocean Territory | Ю | Haiti | HT | New Zealand | NZ | Timor-Lesle | TL |
| Brunel Darussalam | BN | Holy See (Vatican City Stale) | VA | Niger | NE | Tigo | TG |
| Bulgaria | BG | Honduras | HN | Nigeria | NG | Tokelau | TK |
| Burkina Faso | BF | Iceland | IS | Northern Mariana Islands | MP | Tonga | TO |
| Burundi | ВІ | Hongkong | HK | Niue | NU | Trinidad and Tobago | TT |
| Cabo Verde | CV | Hungary | HU | Norfolk Island | NF | Tunisia | TN |
| Cambodia | KH | Iceland | IS | Northern mariana Island | MP | Turkey | TR |
| Cameroon | CM | India | IN | Norway | NO | Turkmenistan | TM |
| Canada | CA | Indonesia | ID | Oman | OM | Turks and Caicos Islands | TC |
| Cayman Islands | KY | Iran Islamic Republc if | IR | Pakistan | PK | Tuvalu | TV |
| Central African Republic | CF | Iraq | IQ | Palau | PW | Uganda | UG |
| Chad | TD | Ireland | IE | Palestine, State of | PS | Ukraine | UA |
| Chile | CL | Isle of Man | IM | Panama | PA | United Arab Emirates | AE |
| China | CN | Israel | IL | Papua New Guinea | PG | United Kingdom | GB |
| Christmas Island | CX | Italy | IT | Paraguay | PY | United States | US |
| Cocos (Keeling) islands | СС | Jamaica | JM | Peru | PE | United States Minor Outlying Islands | UM |
| Colombia | СО | Japan | JP | Phliippinas | PH | Uruguay | UY |
| Comoros | KM | Jersey | JE | Pitcairn | PN | Uzbekeitan | UZ |
| Congo | CG | Jordan | JO | Poland | PL | Vanuatu | VU |
| Congo, the Dcrnocralic Republic of the | CD | Kazakhstan | KZ | Portugal | PT | Venezuela Bolivarian Republic of | VE |
| Congo, the Democratic Republic of the Cook Islands | CK | | KE | Puerto Rico | PR | Vint Nam | VE |
| Cook Islands Costa Rica | CR | Kenya | | | | | VIN |
| | | Kiribati | KI | Qatar Pounion Pounion | OA | Virgin Island I I S | VG |
| Cote d'Ivoire ICote d'Ivoire | CI | Korea Democratic People's Republic of | | Reunion Reunion | RE | Virgin laland.U.S | |
| Croatia | HR | Korea. Republic of | KR | Romania Russian Fodoration | RO | Walls and Futuna Cuba | CU |
| Cube | CU | Kuwait | KW | Russian Federation | RU | Western Sahara | EH |
| Curacao ICuracao | CW | Kyrgyzstan | KG | Rwanda | RW | Yoffnen | YE |
| Cyprus | CY | Lao People's Democratic Republic | LA | Saint Barthelemy !Saint BartheJenry | BL | Zambia | ZM |
| Czech Republic | CZ | Latvia | LV | SaintHeiena, Ascersionane Tristan da Cunha | SH | Limb-Aiwa | ZW |
| Denmark | DK | Lebanon | LB | Saint Kiltsand Nevis | KN | | |
| Djibouti | DJ | Lesotho | LS | Saint Lucia | LC | | |
| Dominica | DM | Liberia | LR | Saint Martin (French Part) | MF | | |



☐ Offline verification of Aadhaar

IV □ Deemed PoA

V □ Self Declaration



Annexure A2 | Legal Entity / Other than Individuals

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

| A) Fie B) Tic C) Ple D) Ple E) KY | C) Please fill the date in DD-MM-YYYY format. D) Please fill the form in English and in BLOCK letters. E) KYC number of applicant is mandatory for update application. G) List of two character ISO 3166 country codes is available at the end. H) Please read section wise detailed guidelines / instructions at the end. For particular section update, please tick (<) in the box available before the section number and strike off the sections not required to be updated | | | | | | | | | STORY STORY OF THE | | | | | | | | |
|---|--|--|-------------|--------------|----------------|------------|---------|---------|-----------|--|-----------|-----------|----------|------------|---------|--------|--------|-----|
| | fice use only | | ation Type | * | New | Upda | te 🗆 | Delet | Э | | | | | | | | | |
| (To be | filled by financial institution | on) KYC Nu | ımber | | | | | | | | (Manc | latory f | for KYC | update | and de | lete r | eques | st) |
| | TAILS OF RELATED PER | RSON* (Ple | ase refer i | nstruction | E at the | end) | | | | | | | | | | | | |
| | dition of Related Person | | | | Dele | tion of F | Related | | | | | | | date Rel | | | | ils |
| | Number of Related Persor | | | | | | | | | | | | | on Type' & | | s mand | latory | |
| Relate | ed Person Type* Direction | | Promoter | | ☐ Trus | | | | | | | | | Proprieto | | :6 | | |
| DIM / | | neficiary 🗆 / | Autnorisea | Signatory | □ Ben | | | | | | | Holde | | Other (P | lease s | specir | у) | |
| | Director Identification Nun | | | | | (IVIa | inaator | у ІТ КЕ | iatea i | erson | туре | is Dire | ctor) | | | | | |
| 1.1 P | ERSONAL DETAILS (Ple | | | | 1) | | | | e a latin | N.I. | | | | | (NI | | | |
| Namo | F (Same as ID proof) | Prefix | First | Name | | | | ľ | Middle | Name | | | | L | ast Na | me | | |
| | n Name | | | | | | | | | | | | | | | | | |
| | r / Spouse Name | | | | | | | | 1 1 | | | | | | | | | |
| | r Name | | | | | | | | | | | | | | | | | |
| | of Birth* | D N M | | v v | | | | | | | | | | | | | | |
| Gende | | M- Male | F- Fe | emale | T-Tran | saender | | | | | | | | | | | | |
| Nation | nality* | IN- Indian | Othe | ers (ISO 3 | | | |) | | | | | | | | | | |
| PAN* | | | | | | | | Form | 60 furn | ished | | | | | | | | |
| | ROOF OF IDENTITY AND | | | | | | | | | | | | | ZVVS DWW B | | | | |
| | fied copy of OVD or equivalent | e-document of | OVD or OVI | O obtained t | rough dig | ital KYC ı | orocess | needs t | o be sul | omitted | (anyone | of the f | ollowing | OVDs) | | | | |
| | A- Passport Number | | | | | | | | | | | | | | | □PH | OTO | * |
| _ | | | | | | | | | | | | | | | | | 1010 | 1 |
| | B-Voter ID Card | | | | | | | | | | | | | | | | 1010 | |
| | B-Voter ID Card C- Driving Licence | | | | | | | | | | | | | | | | 1010 | |
| | B-Voter ID Card C- Driving Licence D-NREGA Job Card | | | | | | | | | | | | | | | | 1010 | |
| | B-Voter ID Card C- Driving Licence | ster Letter | | | | | | | | | | | | | | | 1010 | |
| | B-Voter ID Card C- Driving Licence D-NREGA Job Card | | | | | | | | | | | | | | | | 1010 | |
| | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis | | | | | | | | | | | | | | | | 010 | |
| | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad | adhaar | | | | | | | | | | | | | | | 1010 | |
| | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa | adhaar | | | | | | | | | | | | | | | | |
| | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa | adhaar | | | | | | | | | | | | | | | | |
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| | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa | adhaar | | | | | | | | | City / To | own / Vil | lage* | | | | | |
| II Address Line 1* Line 2 | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Aa E-KYC Authentication Offline verification of Aadhaa | adhaar | Pin | / Post Code | | | | | State | / U.T Co | | own / Vil | lage* | ISO 310 | 66 Coun | | | |
| II | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Aa E-KYC Authentication Offline verification of Aadhaa | adhaar | | | | the end | | | State | | | bwn / Vil | lage* | ISO 310 | | | | |
| II | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Aa E-KYC Authentication Offline verification of Aadhaa | adhaar DETAILS (Pl | ease refer | instructio | n E and | | | | State | | | own / Vil | lage* | ISO 310 | | | | |
| II | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Aa E-KYC Authentication Offline verification of Aadhaa | DETAILS (Plass (In such case | ease refer | instructio | n E and | ot be pro | vided) | s need | | U.T Co | ode* | | | | | | | |
| II | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Aa E-KYC Authentication Offline verification of Aadhaa ss CURRENT ADDRESS I | DETAILS (Plass (In such case | ease refer | instructio | n E and | ot be pro | vided) | s need | | U.T Co | ode* | | | | | | | |
| II | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa s CURRENT ADDRESS I | DETAILS (Plass (In such case | ease refer | instructio | n E and | ot be pro | vided) | s need | | U.T Co | ode* | | | | | | | |
| II | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa ss CURRENT ADDRESS I me as above mentioned addres rtified copy of OVD or equivalet A- Passport Number | DETAILS (Plass (In such case | ease refer | instructio | n E and | ot be pro | vided) | s need | | U.T Co | ode* | | | | | | | |
| Address Line 1* Line 2 Line 3 District* | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa is CURRENT ADDRESS I me as above mentioned addres rtified copy of OVD or equivaler A- Passport Number B-Voter ID Card | DETAILS (Plass (In such case | ease refer | instructio | n E and | ot be pro | vided) | s need | | U.T Co | ode* | | | | | | | |
| II | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa s CURRENT ADDRESS I me as above mentioned addres rified copy of OVD or equivaler A- Passport Number B-Voter ID Card C- Driving Licence | DETAILS (Plass (In such cas not e-document | ease refer | instructio | n E and | ot be pro | vided) | s need | | U.T Co | ode* | | | | | | | |
| Address Line 1* Line 2 Line 3 District* | B-Voter ID Card C- Driving Licence D-NREGA Job Card E- National Population Regis F - Proof of Possession of Ad E-KYC Authentication Offline verification of Aadhaa ss CURRENT ADDRESS I me as above mentioned addres rtified copy of OVD or equivaler A- Passport Number B-Voter ID Card C- Driving Licence D-NREGA Job Card | DETAILS (Plants of the comment of th | ease refer | instructio | n E and | ot be pro | vided) | s need | | U.T Co | ode* | | | | | | | |





| Line 1* Line 2 Line 3 District* | Pin / Post Code* | City / T State / U.T Code* | Town / Village* ISO 3166 Country Code* |
|---|--|---|---|
| | All communication will be sent on provided mobile r | | |
| Tel. (Off) | Tel. (Res) | | Mobile |
| Email ID 2. APPLICANT DECLARAT | FION | | |
| undertake to inform you of any misleading or misrepresenting | details furnished above are true and correct to the brochanges therein, immediately. In case any of the above infog, I am aware that I may be held liable for it. ring information from Central KYC Registry through SMS/Bress. Place: | rmation is found to be false or untrue of | |
| Date. DD - MM - T | T T T T | | Signature / munis impression of Applicant |
| 3. ATTESTATION / FOR OF | FICE USE ONLY | | |
| Documents Received | | ta received from UIDAI t e-document | Data received from Offline verification |
| KYC VE | ERIFICATION CARRIED OUT BY | INSTI | TUTION DETAILS |
| Date | | Name | |
| Emp. Name | | Code | |
| Emp. Code | | | |
| Emp. Designation | | | |
| Emp. Branch | Employee Signature] | | [Institution Stamp] |

CUSTOMER PROFILE ANNEXURE FOR NON-INDIVIDUALS ENTITIES

(To be filled by applicant only)



(Fields marked as '*' are Mandatory)

| Customer ID : Account Number : |
|---|
| Account Title (as per entity proof document) |
| CUSTOMER CATEGORY (Customer Type/ Nature of Industry)* |
| CUSTOMER TYPE: Section I: Constitution* |
| O HUF O Partnership Firm O Limited Liability Partnership |
| ○ Public Ltd Company# ○ Private Ltd Company ○ One Person Company (OPC) |
| ○ Trust (Move to Section II D) ○ Sec 25 / Sec 8 Companies ○ Statutory Corporation (Formed under the act of Parliament/Assembly) |
| ○ Society (Move to Section II D) ○ Association (Move to Section III) ○ Other |
| #In case of Public Ltd company, confirm whether Public Sector Undertaking – O Yes O No |
| Please confirm if the entity is any one of the following: (If Not applicable , Please move to Section III) |
| ○ Financial Institutions (includes Foreign Banks) — ▶ Move to Section II A |
| ○ Government Departments Move to Section II B |
| ○ Foreign Entities/Bodies (except Foreign Banks) — ▶ Move to Section II C |
| ○ Co-operative Credit Societies — Move to Section III - Nature of Business & Nature of Industry |
| |
| Section II A. Financial Institutions including Foreign Banks (select any one) |
| ○ Indian Commercial Banks ○ Co-operative Banks ○ Foreign Banks ○ Mutual Fund companies |
| ○ Term Lending Institutions ○ Provident Fund Institutions ○ Unit Trust of India ○ Housing Finance Co. |
| O NBFC (Asset Size of 500 Cr and above) O NBFC (Asset Size of less than 500 Cr) |
| O Exchange Houses O LIC O Insurance Corporation/companies (other than LIC) |
| Others (pls specify) |
| B. Government Departments (select any one) |
| ○ Central Government ○ State Electricity Board ○ State Government ○ Defense Establishments |
| ○ Government Owned Companies ○ Government Department ○ Statutory Corporation / Bodies |
| ○ Local Authorities ○ Regulators ○ Quasi Government Bodies ○ Non-Departmental Commercial Undertakings |
| C. Foreign Entities/bodies, other than Foreign Banks (select any one) |
| ○ Foreign Government ○ Branch Office ○ Consulates/Embassies ○ Project Office ○ Offshore Corporation |
| O Liaison Office Other Foreign Entities/Bodies (pls specify) |
| D. Trust/Societies (select any one) |
| ○ Public Charitable Trust ○ Joint Liability Groups ○ Religious Institutions/Trust ○ Self-Help group |
| ○ Private/Family/Trust by will ○ NGO/Welfare Organizations ○ Educational Institutions/Trust ○ Housing Societies |
| ○ Super Annuation Trust ○ Non-credit co-operative societies ○ Provident Fund/Gratuity/Group Gratuity Trust |
| Mandatory: Is the Trust/Society also a Non Profit Organization ○ Yes ○ No |
| *Section III: Nature of Business* |
| ○ Retail Shops ○ Retail Trading ○ Wholesale/Distributor/C&F Agency ○ Manufacturing ○ Services |
| ○ Job work ○ Commission Agency ○ Contractual Work ○ Broking |

CUSTOMER PROFILE ANNEXURE FOR NON-INDIVIDUALS ENTITIES

(To be filled by applicant only)



(Fields marked as '*' are Mandatory)

Nature of Industry*

| | Α | |
|--------------------------------|---|--|
| O Agri Commodities | O Arms/Antique/Art Dealer/Expl | losives O Auto Ancillaries |
| O Auto Dealers (New vehicles / | | O Automobiles O Airlines/ Airports |
| O Auction House | O Advertising | O Architecture firm O Auto Mechanics |
| O Attorneys (Immigration) | O Auto Finance Companies | O Artificial Jewellery |
| 7 Morney (miningration) | В | - A timotal derivation |
| O Bakery/Confectionery | Casino/Night Club/Betting | Boat/Plane Dealership/Brokers |
| Book/Stationery Store | O Bullion Dealer | O BPO O Bitcoin/Virtual Currencies |
| Beauty Parlour | O Bullott Bealet | O Bitcom/ virtual Garrenoles |
| C Beauty 1 ariodi | С | |
| ○ Cement/Paints | O Chemical/Dyes | ○ CA/Audit firm ○ C & F agents |
| O Catering | ○ Call Centre | ○ Consultancy firm ○ Consumer Durables |
| Construction | Commodity Broker | O Chit Funds O Chemist |
| Cost Accountant Firm | ○ CS Firm | O Chili Funds O Chemist |
| Cost Accountant Filli | O CS FIIIII | |
| O Doint/Doultmi | | O Diagnostic/Descerch Centre O DTD Operators |
| O Dairy/Poultry | O Departmental/Grocery Store | ○ Diagnostic/Research Centre ○ DTP Operators |
| C Floatranica & Equipment's | Electrical Components/Items | ○ Engineering goods ○ Event Management |
| O Electronics & Equipment's | · | |
| O Education | O Edible Oils | O Engineering, Procurement & Construction |
| OEstate Agents | | |
| O F: 1 : | F | 0 FM00 |
| ○ Fisheries | O Food & Beverages | O FMCG O Forex Dealer |
| O Furniture/Timber | O Fertilizers/Seeds/Pesticides | ○ Facilities Management ○ Facilities Maintenance |
| O Fast Food | Film Production/Distribution F | House O Footwear O Fast Food |
| | G | |
| ○ Gems & Jewellery | ○ Guest house/Service Apt | ○ Garment Store ○ Gambling/Gaming Business |
| O Garage Services | | |
| | Н | |
| O Hospitality | O Hospitals/ Healthcare | ○ Health Clubs/Gymnasium ○ Housing Finance |
| O Hotels/Resorts | ○ Handicrafts | ○ Housing Finance Companies ○ Hardware |
| | 1 | |
| O IT Consulting | O Iron & Steel | ○ IT Service Provider ○ IT Hardware |
| O Internet Cafe | O Internet Service Provider | O Investment Management (Personal) |
| O Import/Export (Not used for | r own Manufacturing and Retailing) | |
| _ | L | |
| O Labour Supply | ○ Logistics | ○ Luxury & Lifestyle ○ Life science |
| O Lottery | ○ Law firm | O Liquor/Standalone Wine Shop (Excluding Licensed Bar) |
| _ | M | |
| O Media/Entertainment | O Money changer | O Money lenders O Multi level Marketing |
| O Marble/Granite | Money Transfer/Agents | ○ Mining/Metal & Metal Products ○ Movie Theatres |
| O Manpower Supply | ○ Meat | O Money Management |
| | N | |
| ○ Notary | O Nursing Homes/Clinics | O Nutrition |
| | 0 | |
| Online Marketers/E-wallet | Online Lotteries | Online Aggregators |
| | P | |
| O Petrol Pump | O Petroleum Oil & Gas | ○ Pharmaceuticals ○ Plastic & Allied Products |
| O Printing/Publishing | O Personal care & Toiletries | ○ Personal Investment Co. ○ Precious Metal |
| O Paper & Paper products | O Power & Power distribution | O Precious Metal dealers O Pet Accessories |
| | R | |
| O Realty & Infrastructure | O Roads & Ports | ○Real estate - Builde r ○ Real estate agent |
| O Restaurant & Bar | O Retail Jewellery | ○ Remittance Houses |
| | | |

CUSTOMER PROFILE ANNEXURE FOR NON-INDIVIDUALS ENTITIES

(To be filled by applicant only)



(Fields marked as '*' are Mandatory)

| | | | S | | | |
|--|-----------------|---------------------|--|----------------------------|--|--|
| O Scrap Metal De | ealers | ○ Shipping | | O Steel/H | ardware | O Share/Stock Broker |
| O Share/Stock Br | oking firm | O Software C | onsultant | O Social N | Media Marketing | O Secretarial Firms |
| O Shelter Service | es | | | | | |
| | | | Т | | | |
| ○ Transportation | /Logistics | O Textiles/Ga | rments | ○ Travel/ | Tour Agency | O Term lending institution |
| O Telecom Service | | ○ Telecom Ed | | Ticketin | | O Tour Operators |
| O Transport/Flee | t Operators | O Travel & To | | O Telema | rketers | ○ Tax Firm |
| | | | U | | | |
| O Used Auto Dea | alers (Used / R | econditioned ve | | motor cycle) | | |
| O Venture Capita | .I | | V | | | |
| | | | | | | |
| Others (pls spe | ecify) | | | | | |
| QUOTOMED DOO | | MATION | | | | |
| CUSTOMER PRO | FILING INFOR | RMATION | | | | |
| SOURCE OF FUNDS - | Mandatory for o | commercial entitie | s (multiple options | may be shaded | d) | |
| ○ Rent | O Sales F | Proceeds O | Capital Contribu | tion O Inco | me from Investr | ments O Investment Received |
| O Dividends | ○ Incenti | ves O | Commissions | ○ Gra | nts | O Donations |
| O Fees | O Subscr | | Loans & Advance | | mbursement | O Consultancy Income |
| Professional FPrize Money | ees O Membe | ersnip tees O | Job Work Charg | es O Gift | | O Ancestral Property |
| © 1 HZO MICHOY | | | | | | |
| BUSINESS ASSES | SMENT DETA | ILS:* | | | | |
| Locality of Office*: | O Commercia | | ○ Residential○ Slum | | ○ Residential-○ Chawl | cum-Commercial |
| | Others (pls s | pecify) | | | | |
| Type of Office*: | O Commerc | al | ○ Shop | | O Factory | |
| , | O Production | | O Small Produ | | O Workshop | |
| | ○ Residence | | O Business Ce | ntre | | |
| | Others (pls s | pecify) | | | | |
| Business Premise | : O Owned | | ○ Rented | | O Co-working | space |
| FUNDS/TURNOVE | | | | | | |
| Annual Gross Turn | | | | | | |
| 0 < 1 cr 0 > = 1 | | | | | | $c - < 50 \text{ crs } \bigcirc > = 50 - < 75 \text{ crs}$ |
| O > = 75 - < 100 c | ers C |) > = 100 - < 200 c | $crs \qquad \bigcirc > = 20$ | 0 - < 250 crs | ○ = > 250 crs | |
| TERMS & CONDIT | TIONS* | | | | | |
| I hereby further de | clare and co | nfirm that as ri | sk categorizatio | n of my acco | ount is done ba | isis the details furnished by m |
| | | | | | | is-leading or mis-representing |
| • | dia) Limited (| YSL) reserves | right to take ne | ecessary act | ion including b | ut not limited to freezing my/o |
| account. | VOL f | ah an ! O' | | | ad fan ardatir r | VCI records |
| I/We will/shall infor | III YOL TOT ar | iy change in Si | gnatory/Signato | nies mentior | ied for existing | TOL records |
| | | | | [| | |
| Date D M | MYY | Y | | | | |
| Place | | | | | | |
| | | | | | Ciara atrina / Thron | h impression of Authorized Signator |

DEPOSITORY SERVICES



EXPERIENCE OUR EXPERTISE

DECLARATION

| Date: DDMMYYYY | |
|---|---------------------|
| To, YES SECURITIES INDIA LIMITED AFL House, 4th floor lok bharti complex, marol maroshi road, Andheri (E) Mumbai 400059 | |
| As our HUF firm wishes to open an account with your Bank in the said name | |
| We beg to say that the first signatory to this letter i.e joint family and other signatories and the adult co-parceners of the said family. | is the Karta of the |

We further confirm that the business of the said joint family is carried on mainly by the said karta as also by the other signatories hereto in the interest and for the benefit of the entire body of co-parceners of the joint family. We all undertake that claims due to the Bank from the said family shall be recoverable personally from all or any of us and also for the entire family properties of which the first signatory is the karta, including the share of minor co-parceners.

We hereby undertake to inform the Bank of the death or birth of a co-parcener or any change occurring at any time in the membership of our joint family during the operation of the account.

| Name & Signature of Karta | | |
|--|--------|--|
| | Sign. | |
| | | |
| | | |
| Name & Signature of Adult Co-Parceners | | |
| | Sign. | |
| | Sigii. | |
| | | |
| Name & Date of Birth of Minor Co-Parceners | | |
| | Sign. | |
| | Sign. | |
| | | |
| | Sign. | |
| | Sign. | |
| | Sign. | |

| 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 | | |
|---|---|--|
| Rights & Obligation D Risk Disclosure Docu Guidance note (Part I |) Ltd. Tariff Sheet (Part A - Page No. 9, 23) locument (Part B - Page No. 2-5 & 18-25) locument (Part B - Page No. 6-8 & 26-30) B - Page No. 9-10 & 31-32) locument (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: | 29 | |

