

SEGMENT ACTIVATION

(Future & Options, Commodity, Currency)



Correspondence Add: AFL House, 4th Floor, Lok Bharti Complex, Marol Marosi Road, Andheri East, Mumbai - 400 059

YES SECURITIES (INDIA) LTD

CIN-U74992MH2013PLC240971

(BSE – 6538| NSE – 14914| MCX – 56355) – (SEBI Single Regn. No. INZ000185632)

Application No.: _____

Date: _____

Trading Code (UCC)		Name	
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APPLICATION FOR ACTIVATION TRADING IN NEW SEGMENT / NEW EXCHANGE (For existing clients only)

I / We am/are a registered client of **YES SECURITIES (INDIA) LTD.**, having aforesaid trading code and would like to trade in the new segment / new exchange as opted below:

Trading Preference (Please sign the relevant box/s)				
Exchange	Cash	Future & Options	Commodity Derivatives	Currency Derivatives
BSE			----NA----	
NSE			----NA----	
MCX	----NA----	----NA----		----NA----

Brokerage - For YES Bank Customer

Invest Value Plan* (IVP) (*Applicable for all the categories except YES Private, YES First, YES Grandeur and YES Premia)						Other Charges 1. Account opening fees as applicable 2. SEBI turnover fees as applicable 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 YSIL shall debit the demat charges applicable to the trading member to the client. 9. In case there are any bank charges or any other charges levied by the exchange or any other authority on account of any violation done by the client, the same shall be duly charged. 10. Charges applicable for any other services availed if any. 11. 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. 12. Pledge/ Re-pledge/ Unpledge/ Invocation charges levied on YES Securities shall be recovered from the client. 13. In addition, Bounce Charges of Rs. 50/- is levied in case where email containing Electronic Contract Note or Margin Statement or any other Statement is undelivered. Note: YES Securities Trading Account Opening Charges & Brokerage will be levied as per the YES Bank Saving Account category / program.
Particulars	YES Private	YES First	YES Grandeur	YES Premia	Invest Value Plan*	
Account Opening Fee	NIL					
Type	Brokerage					
Equity Delivery (%)	0.1	0.12	0.15	0.2	0.25	
Equity Intraday (%)	0.01	0.01	0.02	0.02	0.025	
Equity Future (%)	0.01	0.01	0.02	0.02	0.025	
Equity Option (INR Per Lot)	10	15	20	20	25	
Commodity Delivery (%)	0.1	0.12	0.15	0.2	0.25	
Commodity Future (%)	0.01	0.01	0.02	0.02	0.025	
Commodity Option (INR Per Lot)	10	15	20	20	25	
Currency Future (%)	0.01	0.01	0.02	0.02	0.025	
Currency Option (INR Per Lot)	10	15	20	20	25	

Client Signature _____

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Brokerage - For Non-YES Bank Customer

Particulars	Charges	Other Charges
Account Opening Fee	Nil	1. Account opening fees as applicable 2. SEBI turnover fees as applicable 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 YSIL shall debit the demat charges applicable to the trading member to the client. 9. In case there are any bank charges or any other charges levied by the exchange or any other authority on account of any violation done by the client, the same shall be duly charged. 10. Charges applicable for any other services availed if any. 11. 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. 12. Pledge/ Re-pledge/ Unpledge/ Invocation charges levied on YES Securities shall be recovered from the client.
Type	Brokerage	
Delivery	0.20%	
Intraday (both side)	0.02%	
Futures	0.02%	
Options (Per lot)	INR. 20	
Currency Futures	0.02%	
Currency Options (Per lot)	INR. 20	
Commodity Futures	0.02%	
Commodity Options (Per lot)	INR. 20	

Client Signature _____

Declaration / Occupation

I / We confirm that my **Income Range & Occupation** is *(please tick the relevant box)*

☐ < 1 lakh
 ☐ 1 to 5 lakh
 ☐ 5 to 10 lakh
 ☐ 10 to 25 lakh
 ☐ 25 lakh to 1 Crore
 ☐ > 1 Crore

OR

Net worth (as on date): date (____/____/____) Rs. _____ (Networth not older than 1 year)

Occupation _____

Nature of business _____

- I/We understand that this letter is in addition to the authorization/preference given earlier by me/us to you for modifying my/our trading preferences.
- I/We confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document', 'Guidance note' and 'Policies and Procedures'. 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 www.yesinvest.in.
- Derivatives Segment Activation:- Financial Statement is mandatory while activating these segments.

I/We hereby confirm and declare the following:

- Currently, YES SECURITIES (INDIA) LTD (YSL) sends Electronic Contract Notes, Trade confirmations and all other relevant communications to the email id / mobile number as provided by me/us during account opening or modified subsequently. I/We agree and confirm to receive Electronic Contract Notes and all the communication related to Commodity Exchanges and Commodity segment also to the same registered email id and mobile number already registered with YSL and not in physical mode.
- At the time of opening Trading account, Authorizations signed and agreed by me/us provided shall hold good and applicable to Commodity Exchanges for trading in Commodity segment and Options trading also as applicable.

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3. I/We confirm having read/been explained and understood the contents of the documents on policy and procedures of YSL. I/We agree and give consent that the policies & procedures shall also extend to and valid for Commodity Exchanges for trading in Commodity segment and Options trading.
4. I/We hereby give my/our consent for any services, subscriptions, plans, value added services subscribed by me/us to be extended to me/us on the commodity derivative segment as may be applicable as per internal norms of YSL.
5. 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 YSL 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 hereby confirm that above declaration is true & correct and I am also attaching documentary proofs in support thereof:

Attach any one self-attested proof from the following	
A. Copy of latest Income tax return	
B. In case of salary income – salary slip, Copy of form 16	
C. Net worth certificate by a CA/CS/ICWA	
D. Copy of Demat A/c holding statement	
E. Self declaration with relevant documents	
F. Copy of latest Annual Accounts	
G. Bank account statement for last 6 months	
H. Any other relevant documents substantiating ownership of assets.	

Client Signature _____

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Applicable to Commodity Derivatives

To,
YES Securities (India) Limited,
 AFL House, 4th Floor, Lok Bharti Complex,
 Marol Marosi Road, Andheri East,
 Mumbai - 400 055

Sub : Disclosure of Commodity-wise Client Categorization

As per regulatory requirement, I/We hereby 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

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

Client Name _____

Client Signature X_____