

Sr. No.:



IIFL SECURITIES

IIFL Securities Limited

Account Opening Form (Individual / NRI) Broking & Depository Services

Login ID / UCC :

Depository Service : ☐ CDSL ☐ NSDL (Select any one)

CDSL - DP ID	1	2	0	4	4	7	0	0	Client ID								
NSDL - DP ID	I	N	3	0	2	2	6	9	Client ID								

Process	Employee Code & Name	Process	Employee Code & Name
Pre-Audit Maker		Data Entry Maker	
Pre-Audit Checker		Data Entry Checker	

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS
AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT.

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FOR OFFICE PURPOSE ONLY

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

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

☐ CDSL DP ID : 12044700 OR ☐ NSDL DP ID: IN302269 Client ID (To be filled by IIFL) :

SUBMISSION CHECKLIST

1. Complete Documentation Received ☐ Yes ☐ No If No, give details _____
2. "Verified with Original" stamp affixed on proofs ☐ Yes ☐ No

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

3. "PAN verified" stamp with Employee name & signature affixed on proof ☐ Yes ☐ No
4. Margin Money collected ☐ Yes ☐ No Amount in Rs. _____ Rs. (in words) _____
- Chq./ CMS No: _____ Chq./ CMS. Date: Bank Name _____

I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD, Guidance Note & Do's & Dont's.

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

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

Branch Address : _____

Pincode : _____

Name of the Employee of IIFL : _____ Employee Code : _____

IIFL Representative Signature & Stamp :  1/2

Date

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INDEX OF DOCUMENTS			
Sr. No.	Name of the Document	Brief Significance of the Document	Page Nos.
SECTION-A - MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI AND EXCHANGES			
1.	Account Opening Form	Part I - KYC form - Document captures the basic information about the constituent. Part II - Document captures the additional information about the constituent relevant to trading account and an instruction/check list. Nomination Form for appointing a nominee to the client's account. Additional information for DEMAT Client Declaration	3-4 5-11
2.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading and demat account on the stock exchange(s)/ depository.	12
3.	Rights & Obligations of Stock Brokers, Sub-Broker / AP & Clients	Document stating the Rights & Obligations of stock broker/trading member, sub-broker/AP and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Included in Client Copy
4.	Rights & Obligations of Beneficial Owner & Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	
5.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
6.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
7.	Policies and Procedures	Documents describing significant policies and procedures of IIFL related to Trading Account of the client.	
8.	Investor Charter for Stock Broker	Document detailing the services provided to Investors, Rights of Investors, various activities of Stock Brokers with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism	
9.	Investor Charter for Depository Participant	Document detailing the services provided to Investors, Rights of Investors, various activities of Depository Participant with timelines, DOs and DON'Ts for Investors and Grievance Redressal Mechanism	
SECTION-B - VOLUNTARY DOCUMENTS - AS PROVIDED BY STOCK BROKER/ DEPOSITORY PARTICIPANT			
1.	Terms & Conditions cum Registration form for receiving SMS Alerts from Depository	Terms and Conditions-cum-registration / Modification form for receiving SMS Alerts from CDSL / NSDL any other depository.	
2.	Terms & Conditions For Distribution of Securities	Terms & Conditions for Distribution of Securities	
3.	Mutual Fund Trading Services	Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE STAR MUTUAL FUND offered by NSE and BSE respectively	
4.	SIP in Mutual Fund and Securities	Terms and conditions for availing systematic investment plan (SIP) in Mutual Fund and Securities	
5.	Instruction / Checklist	KYC Form - Instruction / Checklist	
6.	Terms & Conditions	Investment Objectives & Risk Assessment Questionnaire	
7.	Demat Debit And Pledge Instruction	Voluntary and Limited purpose DDPI in favour of Broker for operational requirements as per client authorization/instruction.	13 - 14
8.	Authorisation Letter	A. Availing Mutual Fund Service System (MFSS) facility/ BSE STAR MUTUAL FUND (hereinafter jointly referred to "Mutual Fund Transaction Facilities") B. Authorization for Systematic Investment in Mutual Fund /Securities C. Running Account Authorisation D. Authorisation for Receipt of Contract Notes and Other documents in Digital Mode E. Authorisation for Online Trading Software Password	15 - 18

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PART-I - KNOW YOUR CLIENT APPLICATION FORM (KYC) - FOR INDIVIDUAL-1st / Sole Holder

A. IDENTITY DETAILS (Please see guidelines overleaf)

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

Prefix	First Name	Middle Name	Last Name

2. Maiden Name (If any):

3. Father/ Husband :

4. Mother Name :

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

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

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

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

9. Specify the proof of Identity submitted (Please 3)

☐ Passport ☐ Voter ID ☐ Driving License ☐ Others (Please see guideline 'D' overleaf)

PHOTOGRAPH

Please affix the recent passport size Photograph and sign

B. ADDRESS DETAILS (Please see guidelines overleaf)

1. Resident / Correspondence Address :

Landmark:

City/ Town/ Village: PIN Code:

State: Country:

2. Permanent Address of Resident Applicant if different from above

B.1. Overseas Address (Mandatory) for Non-Resident Applicant

Landmark:

City/ Town/ Village: PIN Code:

State: Country:

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

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

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

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

☐ Passport ☐ Driving License ☐ Voter Identity Card

☐ Utility Bill (Latest 2 Months)

☐ UID ☐ Others (Please specify)

Document No. : Date of Issue:

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

4. Contact Details: Tel (Off) :

Mobile No.:

E-mail ID:

Tel (Res) :

Fax No.:

DECLARATION

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

I willingly give my consent to all exchanges to accept copy of my Aadhaar Card proceed with the referred applications.

Place: Date:

SIGNATURE OF APPLICANT

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IIFL Securities Limited Code: 1100044700	Staff Name	Seal/Stamp of IIFL
<input type="checkbox"/> (Originals verified) Self certified Documents copies received.	Designation	Staff Name
<input type="checkbox"/> (Attested) True copies of Documents received.	Signature	Designation
	Date	Signature
		Date

PART-I - KNOW YOUR CLIENT APPLICATION FORM (KYC) - FOR INDIVIDUAL-2nd / Second Holder

A. IDENTITY DETAILS (Please see guidelines overleaf)

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

2.	Maiden Name (If any):			
3.	Father/ Husband :			
4.	Mother Name :			
5.	(a) Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Transgender	(b) Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Other		
6.	Nationality: <input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify)	(c) Date of Birth:		
7.	Status: (Please <input checked="" type="checkbox"/> Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National (Passport copy mandatory for NRIs & Foreign Nationals			
8.	(a) PAN	(Please enclose a duly attested copy of your PAN card)		
9.	Specify the proof of Identity submitted (Please 3)			
	<input type="checkbox"/> Passport <input type="checkbox"/> Voter ID <input type="checkbox"/> Driving License <input type="checkbox"/> Others (Please see guideline 'D'			

PHOTOGRAPH

Please affix
the recent passport
size Photograph and
sign

B. ADDRESS DETAILS (Please see guidelines overleaf)

1. Resident / Correspondence Address :

[illegible]

2. Permanent Address of Resident Applicant if different from above
B.1. Overseas Address (Mandatory) for Non-Resident Applicant

[illegible]GST Registered (Goods and Services Tax) ☐ Yes ☐ No

GSTIN No (If GST Registered)

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

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

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

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

☐ Passport ☐ Driving License ☐ Voter Identity Card
☐ Utility Bill (Latest 2 Months)
☐ UID _____ ☐ Others_____ (Please specify) _____
 Document No. : _____ Date of Issue: D D M M Y Y
 Validity/Expiry date of proof of address submitted Not more than 3 Months old

☐ Passport ☐ Driving License ☐ Voter Identity Card
☐ Utility Bill (Latest 2 Months)
☐ UID _____ ☐ Others _____ (Please specify)
 Document No. : _____ Date of Issue: D D M M Y Y
 Validity/Expiry date of proof of address submitted **Not more than 3 Months old*

4. Contact Details: Tel (Off) : (I S D)(S T D)

Tel (Res) : (I S D)(S T D)

[illegible]

Fax No.: (I S D)(S T D)

[illegible]

DECLARATION

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

I willingly give my consent to all exchanges to accept copy of my Aadhaar Card proceed with the referred applications.

Place:

Date:

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

FOR OFFICE USE ONLY

IIFL Securities Limited Code: 1100044700
☐ (Originals verified) Self certified Documents copies received.
☐ (Attested) True copies of Documents received.

Staff Name
Designation
Signature
Date

SIGNATURE OF APPLICANT

IPV Done ☐ on

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

Seal/Stamp of IIFL
Staff Name
Designation
Signature
Date

PART II - ACCOUNT OPENING FORM

1. DEPOSITORY SERVICE

☐ CDSL DP ID : 12044700 OR ☐ NSDL DP ID: IN302269

Client ID (To be filled by IIFL) :

I/We wish to open Depository Account with ☐ CDSL: 12044700 / ☐ NSDL : IN302269) as per the following details:
(Please fill all the details in CAPITAL LETTERS only)

2. DETAILS OF ACCOUNT HOLDER(S)

	First Holder	Second Holder	Third Holder
Client Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
PAN	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
Occupation	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist
	<input type="checkbox"/> Public Sector <input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector <input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector <input type="checkbox"/> Retired
	<input type="checkbox"/> Government Service <input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service <input type="checkbox"/> Housewife	<input type="checkbox"/> Government Service <input type="checkbox"/> Housewife
	<input type="checkbox"/> Business <input type="checkbox"/> Student	<input type="checkbox"/> Business <input type="checkbox"/> Student	<input type="checkbox"/> Business <input type="checkbox"/> Student
	<input type="checkbox"/> Professional <input type="checkbox"/> Others _____	<input type="checkbox"/> Professional <input type="checkbox"/> Others _____	<input type="checkbox"/> Professional <input type="checkbox"/> Others _____
Nature of Business	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services	<input type="checkbox"/> Manufacturer <input type="checkbox"/> Services
	<input type="checkbox"/> Trading <input type="checkbox"/> Consultancy	<input type="checkbox"/> Trading <input type="checkbox"/> Consultancy	<input type="checkbox"/> Trading <input type="checkbox"/> Consultancy
	<input type="checkbox"/> Others _____	<input type="checkbox"/> Others _____	<input type="checkbox"/> Others _____
Client Category	<input type="checkbox"/> VCP <input type="checkbox"/> Exporter <input type="checkbox"/> Importer	<input type="checkbox"/> VCP <input type="checkbox"/> Exporter <input type="checkbox"/> Importer	<input type="checkbox"/> VCP <input type="checkbox"/> Exporter <input type="checkbox"/> Importer
	<input type="checkbox"/> Hedger <input type="checkbox"/> Financial Participant	<input type="checkbox"/> Hedger <input type="checkbox"/> Financial Participant	<input type="checkbox"/> Hedger <input type="checkbox"/> Financial Participant
	<input type="checkbox"/> Trader <input type="checkbox"/> Arbitrager	<input type="checkbox"/> Trader <input type="checkbox"/> Arbitrager	<input type="checkbox"/> Trader <input type="checkbox"/> Arbitrager
	<input type="checkbox"/> Commercial Participant	<input type="checkbox"/> Commercial Participant	<input type="checkbox"/> Commercial Participant
	<input type="checkbox"/> Non Commercial Participant	<input type="checkbox"/> Non Commercial Participant	<input type="checkbox"/> Non Commercial Participant
	<input type="checkbox"/> Others _____	<input type="checkbox"/> Others _____	<input type="checkbox"/> Others _____
	<input type="checkbox"/> Others _____	<input type="checkbox"/> Others _____	<input type="checkbox"/> Others _____

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

(a) Name <input style="width: 90%;" type="text"/>	(b) PAN <input style="width: 90%;" type="text"/>
---	--

4. TYPE OF ACCOUNT

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

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

Guardian Details (where sole holder is a minor):

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

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

6. TRADING PREFERENCE

STOCK EXCHANGE(S) & SEGMENT ON WHICH YOU WISH TO TRADE:

(Please sign in the relevant boxes where you wish to trade. The Segment not chosen should be struck off by you.)

Name of the Exchange Name of the Segment	NSE	BSE	MCX	NCDEX
Capital Market	<input type="checkbox"/> 2 19	<input type="checkbox"/> 8 19	NA	NA
Stock Futures & Options	<input type="checkbox"/> 3 19	<input type="checkbox"/> 9 19	NA	NA
Currency Derivatives	<input type="checkbox"/> 4 19	<input type="checkbox"/> 10 19	NA	NA
Debt	<input type="checkbox"/> 5 19	<input type="checkbox"/> 11 19	NA	NA
MFSS/BSE STAR	<input type="checkbox"/> 6 19	<input type="checkbox"/> 12 19	NA	NA
Commodity Futures & Options	<input type="checkbox"/> 7 19	<input type="checkbox"/> 13 19	<input type="checkbox"/> 14 19	<input type="checkbox"/> 15 19

If in future, you want to trade in any new segment/exchange, separate authorisation/letter should be submitted to IIFL.

RISK DISCLOSURES ON DERIVATIVES - 9 out of 10 individual traders in equity Futures and Options Segment, incurred net losses On an average, loss makers registered net trading loss close to ₹ 50,000 Over and above the net trading losses incurred, loss makers expended an additional 28% of net trading losses as transaction costs. Those making net trading profits, incurred between 15% to 50% of such profits as transaction costs.

7. PROOF OF FINANCIAL DETAILS (MANDATORY IN CASE OF DERIVATIVES/ CURRENCY)

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

Gross Annual Income Details: (Please specify)	a) Income Range per Annum:
	<input type="checkbox"/> Below Rs.1,00,000 <input type="checkbox"/> Rs.1,00,001 to Rs.5,00,000 <input type="checkbox"/> Rs.5,00,001 to Rs.10,00,000 <input type="checkbox"/> Rs.10,00,001 to Rs.25,00,000 <input type="checkbox"/> More than Rs.25,00,001 OR
	b) Networth Rs. _____ as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> (Networth should not be older than one year)

8. DEPOSITORY ACCOUNT DETAILS (APPLICABLE IN CASE OF NON - IIFL DEMAT ACCOUNTS)

Depository Participant Name and Address	<input type="text"/>
Depository Name	<input type="text"/>
DP ID	<input type="text"/> BO Account Number: <input type="text"/>
Beneficiary Name	<input type="text"/>

Note : IIFL Demat Account will be default Demat Account for securities pay out.

9. COMTRACK ACCOUNT DETAILS :

CP Name & Address :	<input type="text"/>
CP ID :	<input type="text"/>
CMS (E) ID :	<input type="text"/>

10. COMRIS ACCOUNT DETAILS :

COMRIS Name & Address :

COMRIS ID :

11. DEALINGS THROUGH SUB-BROKERS / AP AND OTHER STOCK BROKERS

If client is dealing through the sub-broker / AP provide the following details:

Sub-broker's / AP Name & Code:

Registered office address:

SEBI / AP Registration No.: Tel. Fax

Website:

Authorised Person's Code :

Name :

Address :

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

Name of stock broker:

Name of Sub-Broker / AP, if any:

Client Code: Exchange:

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

12. PAST ACTIONS

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

Particulars	Name of Authority	Month & Year of Action
<input type="text"/>	<input type="text"/>	<input type="text"/>

Please tick, if applicable: ☐ Politically Exposed Person (PEP) ☐ Related to PEP ☐ Not a PEP ☐ Not Related to PEP

Experience in securities Market: Number of years of Investment/Trading Experience: No Experience: ☐

Any other information:

13. BANK ACCOUNT DETAILS (FOR TRADING AND DEMAT ACCOUNT)

Bank Name:

Branch Address:

City: Country:

State: PIN Code: Tel.

Bank A/c No.:

A/c Type: ☐ Savings ☐ Current ☐ Others - in case of NRI/ NRE/ NRO (specify)

IFSC Code: MICR Code:

14. IN CASE OF NRI'S/ FOREIGN NATIONALS

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

BANK ACCOUNT DETAILS (PIS):

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

BANK ACCOUNT DETAILS (SAVINGS):

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

15. FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

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

Note: If you are a U.S. person and/or if your tax residency/nationality/citizenship is other than India, then please provide declaration/self certification under FATCA/CRS. This declaration form can be downloaded from http://content.indiaonline.com/IIFLTT/Download_Form_Formats/downloads/Fatca_Declaration_Individual.pdf. or call at centralized helpdesk at 022-41035000 or write to cs@indiaonline.com.

16. STANDING INSTRUCTIONS

- a. I/We would like to execute DDPI in favor of IIFSL for ☐ Demat A/C ☐ Bank A/C ☐ Bank & Demat A/C
- b. As I/We have issued Demat Debit And Pledge Instruction in favour of IIFL Securities Limited for executing delivery instructions for settlement of transactions executed through IIFL Securities Limited However, the DIS booklet should be issued to me/us immediately on my/our request at any later date. The Delivery Instruction Slip (DIS) for the time being, ☐ Required ☐ Not Required
- c. SMS ALERT FACILITY On registered Mobile Number (Mandatory if you are giving DDPI). ☐ Yes ☐ No
Ensure that the mobile number is provided in the KYC application form.
- d. I / We would like to instruct the DP to accept all the pledge instructions in my /our account without any other further instruction from my/our end (If not marked, the default option would be 'No') ☐ Yes ☐ No
- e. Account Statement Requirement: ☐ As per SEBI Regulations ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
- f. I/We would like to receive Statement of Account / Transaction-cum-Holding Statement / Daily Margin Statement and All Other Statement at my email ID ☐ Yes ☐ No
- g. Whether you wish to receive: ☐ Physical contract note ☐ Electronic Contract Note (ECN)
- h. I/We would like to receive Annual Report in ☐ Physical ☐ Electronic ☐ Both

- I. EASI facility [Facility through CDSL's website: www.cdslindia.com wherein a BO can view his ISIN balances, transactions and value of the portfolio online.] ☐ Yes ☐ No
- a. I/We authorise you to receive credits automatically into my/our account ☐ Yes ☐ No
- b. Do you wish to receive dividend/interest directly to your bank account given herein through ECS? ☐ Yes ☐ No
- c. Account to be operated through Demat Debit And Pledge (DDPI) ☐ Yes ☐ No
- j. I / We would like to share the email ID with the RTA ☐ Yes ☐ No
- k. I/We wish to receive/Dividend/interest directly in to my bank account as given below through ECS (if not marked, the default option would be "yes") (ECS is mandatory for location notified by SEBI from time to time) ☐ Yes ☐ No
- l. I/We would like to maintain running account with IIFL Securities Ltd. ☐ Yes ☐ No
If Yes, Funds & Securities settlement frequency ☐ Quarterly ☐ Monthly
- m. I/We would like to receive Client Copy containing following ☐ Physical ☐ Electronic
- Rights and Obligations of Stock Rights and Obligations of Stock Brokers, Sub-Broker / AP / APs and Clients as prescribed by SEBI and Exchanges
 - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
 - Risk disclosure Document for Capital, Currency, Stock and Commodity Derivatives Segment
 - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
 - Policies and Procedures applicable to clients.
- n. For Joint accounts, communication to be sent to ☐ First holder ☐ All joint account holders
- o. Mode of Operations for Joint Accounts ☐ Jointly ☐ Anyone of the holder or survivor(s)
- p. ASBA ☐ Yes ☐ No

17. FORM FOR NOMINATION/OPTING OUT OF NOMINATION (To be filled in by Individual applying singly or Jointly)

CDSL DP Id		Login id	
NSDL DP Id		Nomination No.	

NOMINATION FORM

I/We The Sole Holder/Joint Holders/Guardian (in case of minor) hereby Declare That :

- ☐ I/We wish to make nomination [As per Details given Below]. This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.




☐ **I/WE DO NOT WISH TO APPOINT ANY NOMINEE(S) IN MY/OUR TRADING/DEMAT ACCOUNT**

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

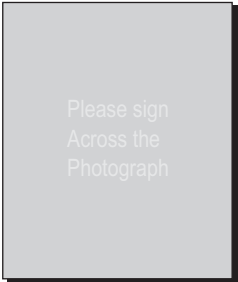

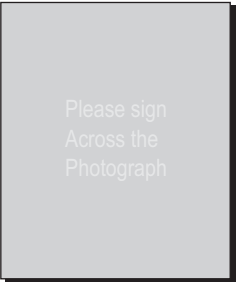
NOMINEE DETAILS

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

Nomination can be made up to three nominee in the account	Details of 1 st Nominee	Details of 2 nd Nominee	Details of 3 rd Nominee
1 Name of the Nominee(s) (Mr/Ms.)			
2 Share of each Nominee	Equally (if not equally, please specify %)	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
3 Relationship with applicant/BO [if any]*			
4 Address of Nominee(s)*			
City / Place: State & Country:			
PIN			
5 Mobile/Telephone No. of Nominee(S)			
6 Email ID of Nominee (s)			

7 Nominee Identification Details [Please tick any one of and provide details of same]	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI)	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI)	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI)
	2) Demat / Saving Bank Proof A/c No. _____	2) Demat / Saving Bank Proof A/c No. _____	2) Demat / Saving Bank Proof A/c No. _____
	Bank/DP Details _____	Bank/DP Details _____	Bank/DP Details _____
	3) Photograph & Signature 	3) Photograph & Signature 	3) Photograph & Signature 

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8 Date of Birth {in Case of Minor Nominees(s)}			
9 Name of Guardian (Mr/Ms.) {in Case of Minor Nominees(s) :			
10 Address of Guardian(s)* City / Place: State & Country: PIN			
11 Mobile/Telephone No. of Guardian(S)			
12 Email ID of Guardian (s)			
13 Relationship of Guardian with Nominee			
14 Guardian Identification Details [Please tick any one of and provide details of same]	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI)	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI)	1) Aadhar/ PAN/ Other POI No. _____ Please specify other proof of Identity (POI)
	2) Demat / Saving Bank Proof A/c No. _____	2) Demat / Saving Bank Proof A/c No. _____	2) Demat / Saving Bank Proof A/c No. _____
	Bank/DP Details _____	Bank/DP Details _____	Bank/DP Details _____
	3) Photograph & Signature 	3) Photograph & Signature 	3) Photograph & Signature 

DECLARATION

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am / we are aware that I/we may be held liable for it.
- I/We confirm having received a copy of the following documents and further confirm having read and understood the contents of these documents:-
 - Rights and Obligations of Stock Brokers, 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 IIFL and also intimated to me through circulars in internet trading platform/e-mails. I/We shall keep myself updated of the same. <https://ttweb.indiainfoilne.com/trade/frminformation2customer.aspx>

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 (G-Sec), 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 IIFL Securities Limited (IIFL) and to honor all relevant requests. In case Bank is not been mapped or Tagged to IIFL Securities Limited (IIFL) as my registered broker, IIFL 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 non-receipt/short-receipt of GST credit due to incorrect/inaccurate/incomplete information provided and any loss, damage, cost and/or expenses suffered/incurred by us due to non-reversal of GST credit, act, omission, false statement suppression of fact and/or any breach would be borne by you.

Place : _____


Date : _____

	Name(s) of Account Holder(s)	Signature of Holder/ Thumb impression of Holder
Sole/First Holder (in case of Sole holder is Minor) (Mr./Ms.)		16/19
Second Holder (Mr./Ms.)		2/5
Third Holder (Mr./Ms.)		2/5
Guardian (in case sole holder is minor) (Mr./Ms./Mrs.)		

Details of Witness required if the account holder affixes thumb impression

	Name of the Witness	Address	Signature of Witness
1			
2			

18. INTRODUCER'S DETAILS

Status Of Introducer	<input type="checkbox"/> Sub-Broker <input type="checkbox"/> Authorised Person <input type="checkbox"/> Remisier <input type="checkbox"/> Existing Account Holder <input type="checkbox"/> Bank Official <input type="checkbox"/> IIFL Employee <input type="checkbox"/> Any Other Person
Introducer's Name:	<input type="text"/>
Address	<input type="text"/>
City	<input type="text"/> Country <input type="text"/>
State	<input type="text"/> PIN Code <input type="text"/> Tel. <input type="text"/>
Occupation	<input type="text"/> PAN <input type="text"/>
DP ID	<input type="text"/> For existing client only Client ID <input type="text"/> For existing client only Login ID <input type="text"/> For existing client only
Designation	<input type="text"/> PAN <input type="text"/> If bank employee
Bank & Branch Name	<input type="text"/> If bank employee
Employee Code:	<input type="text"/> Email Id <input type="text"/> If bank employee
<input type="text"/>  Signature of the Introducer	

TARIFF SHEET			
Plan Name	<input type="checkbox"/> Investor Plan (Online Plus)	<input type="checkbox"/> Super Trader Plan (Pro Traders)	<input type="checkbox"/> Premium Plan (Dedicated RM)
Account Charges			
Account Opening Charges (one time)	₹ 250	₹ 250	₹ 250
First Year Annual Maintenance	₹ 0	₹ 0	₹ 0
Annual Maintenance (from 2nd year)	₹ 250	₹ 250	₹ 250
Margin at the time of Account opening	₹ 0	₹ 0	₹ 0
Monthly subscription	₹ 0	₹ 999	₹ 0
Demat Charges			
Credit transaction Charges	₹ 0	₹ 0	₹ 0
Debit transaction charges	₹ 25	₹ 10	₹ 50
Margin Pledge initiation and Pledge release from Client to Stock Broker (Nil for Mutual Funds)	₹ 10	₹ 10	₹ 10
Margin Re-pledge initiation and Re-pledge release from Stock Broker to Clearing Member (CM)	₹ 1 (₹ 0 for Mutual Funds)	₹ 1 (₹ 0 for Mutual Funds)	₹ 1 (₹ 0 for Mutual Funds)
Margin Re-pledge initiation and Re-pledge release from CM to Clearing Corporation (CC)	₹ 1 (₹ 0 for Mutual Funds)	₹ 1 (₹ 0 for Mutual Funds)	₹ 1 (₹ 0 for Mutual Funds)
Margin Pledge Invocation charges by Stock Broker/CM/CC	₹ 15	₹ 15	₹ 15
Pledge creation (other than margin pledge)	₹ 50	₹ 50	₹ 50
Pledge Closure (other than margin pledge)	₹ 0	₹ 0	₹ 0
Demat/Remat Charges per certificate	₹ 15	₹ 15	₹ 15
Payment Gateway Charges	₹ 0	₹ 0	₹ 0
Conversion of MF units/De-statementization Per SOA	₹ 0	₹ 0	₹ 0
Reconversion of MF units in to SOA or Redemption/Re-statementization Per SOA	₹ 0	₹ 0	₹ 0
Re-issuance of (Additional) New DIS	₹ 100	₹ 100	₹ 100
Brokerage Charges			
Equity Delivery %	0.25%	0.10%	0.50%
Equity Intraday/ Futures (per lot)	0.025%	0.01%	0.05%
Nifty Options (per lot)	₹ 25	₹ 10	₹ 50
Stock/Bank Nifty Options (per lot)	₹ 25	₹ 10	₹ 50
Commodity, Currency trading	0.025%	0.015%	0.050%
Currency Options (Per lot)	₹ 8	₹ 5	₹ 10
Currency Futures (Per Lot)	₹ 20	₹ 15	₹ 25
Commodity Options (Per lot)	₹ 20	₹ 15	₹ 25
Gold	₹ 125	₹ 80	₹ 150
Silver	₹ 80	₹ 50	₹ 100
Crude Oil	₹ 80	₹ 50	₹ 100
Copper	₹ 65	₹ 50	₹ 80
Zinc	₹ 65	₹ 50	₹ 80
Gold Mini	₹ 10	₹ 5	₹ 15
Others Charges			
Delayed payment charge (p.a.)	18%	15%	18%
System & Risk square off	₹ 100	₹ 0	₹ 100
Call & Trade	₹ 0	₹ 0	₹ 0
Postal Charges for physical dispatch	₹ 40	₹ 40	₹ 40
Courier/ physical printing (when requested)	₹ 100	₹ 100	₹ 100
Auction Charges	1%	1%	1%
Access to Services			
Research Report	Yes	Yes	Yes
Intraday calls	Yes	Yes	Yes
Market Guru seminars	No	Yes	Yes
Trader Terminal EXE	No	Yes	Yes
Dedicated RM	No	Yes	Yes
Analyst/ Investment advisor meetings	No	No	Yes

NOTES:

- Customer is required to maintain a minimum balance of Rs.1000/- in his/ her ledger account.
- Minimum brokerage per unit subject to regulatory cap Rs. /- 0.05
- Document handling charge of Rs. 50 /- shall be applicable: • Customer who has opted for receiving documents by electronic mode: In case such customer also intends to receive documents (contract notes and other related documents) by physical mode. • Customer who has opted for receiving documents by physical mode: In case such customer intends to receive additional/duplicate copies of documents (contract notes and other related documents) by physical mode. This charge may be partly/fully waived off for high net worth /large customer at the discretion of IIFL.
- Inter/settlement/ Beneficiary to pool transfer would be charged 0.04% (Minimum Rs.25 per scrip)
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately
- No refund of account opening charges would be given if the account could not be opened due to non- submission of complete documents by the client or due to lack of desired co-operation from the client.
- Charges/service standards are subject to revision at sole discretion of IIFL Securities Limited and as informed by communication sent by ordinary post/ E-mail.
- Management reserves the right to freeze, discontinue or suspend any account if required
- The above charges are exclusive of GST, statutory and other levies like Securities Transaction Tax, stamp duty and other charges if any, being charges related to the execution and/or settlement of transactions shall be separately chargeable as in force from time to time. The same shall be charged to the Client's account on actual basis

	Sole/First Holder	Second Holder	Third Holder
SIGNATURE	17/19	3/5	3/5

Branch Official's Name _____ Branch Official's Signature _____

Date : _____ Place : _____

IIFL House, Sun Infotech Park, Road No. 16V,
Plot No. B-23, MIDC, Thane Industrial Area,
Wagle Estate, Thane - 400 604

Date :
Login ID :
CDSL DP ID-12044700
CDSL DP ID-13014400
PAN

NSDL DP ID-IN302269
NSDL DP ID-IN300394
NSDL DP ID-IN301557
NSDL DP ID-IN301926
NSDL DP ID-IN302470

To,
IIFL Securities Limited

Demat Debit and Pledge Instruction

- ☐ Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through IIFL Securities Limited.
- ☐ Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM)/ Clearing Corporation (CC) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.
- Note:-** For NRI clients the Pledge / Re-pledge of securities would be extended once the same is enabled by NSDL/ CDSL.
- ☐ Mutual Fund transactions being executed on Stock Exchange order entry platforms. Tendering
- ☐ shares in open offers through Stock Exchange platforms.

Sole/First Holder Name	Second Holder Name	Third Holder Name
Sole/First Holder Name or authorized signatory	Second Holder Name or authorized signatory	Third Holder Name or authorized signatory
Sole/First Holder Signature	Second Holder Signature	Third Holder Signature

Schedule 'A – List of DEMAT Accounts ' is on the next page..

Schedule A – List of DEMAT Accounts

BOID / CMBPID / CMID	Holder Name	A/c Type
1204470000000044	IIFL SECURITIES LIMITED - POOL	NSE Pool (CDSL)
1204470000000063	IIFL SECURITIES LIMITED - POOL	BSE – Principal (CDSL)
1204470000000078	IIFL SECURITIES LIMITED - POOL	BSE Pool (CDSL)
1204470011416801	IIFL SECURITIES LIMITED - CSMFA	Margin Pledge
1204470011617961	IIFL SECURITIES LIMITED - CSMFA	Margin Funding
1204470031167581	IIFL SECURITIES LIMITED - POOL	NSE Pool – SLBM
1204470031173042	IIFL SECURITIES LIMITED - CUSPA	NSE CUSPA Pledge
1100001100017685	IIFL SECURITIES LIMITED	NSE - Early Pay In A/c
IN559021 - 10000005	IIFL SECURITIES LIMITED - POOL	Clearing Member (Pool) – NSE
IN652277 - 10000013	IIFL SECURITIES LIMITED - POOL	Clearing Member (Pool) - BSE
1100001100020926	NCL	NCL Repledge
14850698	IIFL SECURITIES LIMITED	Stock Broker- TM/CM-Client Securities Margin Pledge Account
14850702	IIFL SECURITIES LIMITED	Stock Broker - TM-Client Securities under Margin Funding Account
14865351	IIFL SECURITIES LIMITED	Stock Broker - TM/CM- Client Unpaid Securities Pledgee Account

AUTHORIZATION LETTER

To,
IIFL Securities Limited
IIFL House, Sun Infotech Park,
Road No. 16V, Plot No. B-23,
Thane Industrial Area, Wagle Estate, Thane - 400 604

Date: ____/____/____

Sir,

A. Availing Mutual Fund Service System (MFSS) facility/ BSE StAR MUTUAL FUND (hereinafter jointly referred to “Mutual Fund Transaction Facilities”) (Applicable in case opted)

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and BSE StAR MUTUALFUND of NSE and BSE respectively.

I/We therefore request you to register me/us as your client for participating in the Mutual fund transaction facilities (MFSS and BSE StAR MUTUALFUND).

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated 24/11/09, BSE Circular dated 02/12/2009 and further circulars 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 and Association of Mutual Funds of India (AMFI). For the said 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 and I/We further confirm that the details contained in same remain unchanged as on date.

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

With reference to my application for registering as a client for Mutual Fund Transaction facilities offered by NSE and BSE, I/We hereby undertake to provide funds to the Participant equivalent to the subscription amount and applicable brokerage/ fees/ charges before applying for mutual fund units through the Participant.

For this purpose, I/We hereby authorize IIFL Securities Limited to utilize the surplus funds in my/our Broking account held with IIFL Securities Limited in its capacity as a Stock Broker and transfer funds to the extent of subscription amount and/or applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

My/our exposure limits in my trading account shall be reduced to the extent of the amount utilized for transacting in the mutual fund units as per my instruction. In case of subscription request, I/We hereby understand and agree that based on my instruction, the amount will be debited in my Mutual fund transaction account and surplus funds shall be transferred from my Broking account to my mutual fund transaction account as per this authority letter. I/We further agree and understand that such funds will be used by the Participant for applying for mutual fund units after deducting the applicable brokerage, fees, charges and other statutory levies. I/We agree and undertake to make good such shortfall immediately as may be informed by IIFL Securities Limited from time to time.

In case of a redemption request, I/We agree and authorise IIFL Securities Limited to debit my mutual fund transaction account to the extent of applicable brokerage, fees, charges and other statutory levies and further authorize to utilize the surplus funds in my/our Broking account held with IIFL Securities Limited in its capacity as a Stock Broker and transfer funds to the extent of applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

B. Authorization for Systematic Investment in Mutual Fund / Securities (Applicable in case opted)

I/We hereby authorize IIFL to execute an order in my/our account held with IIFL for purchase of the securities and/or mutual fund units under systematic investment plan on my/our behalf as per my/our instructions.

I/We further agree and understand that all the terms and conditions of the trading agreement/terms and condition entered into/agreed with IIFL shall be also applicable to the instructions for systematic investment in mutual fund units / securities and I/We hereby agree to abide by the same at all times.

I/We understand that the instructions for systematic investment can be given by me in writing or through the online facility provided by IIFL or over recorded telephone line. I/We hereby agree and understand that the said instructions shall be valid and binding upon me/us until modified and/or cancelled by me/us by giving valid instruction to IIFL either in writing or through the online facility provided by IIFL.

I/We hereby undertake to give an ECS mandate/ standing instruction in favor of IIFL towards my/our trade obligations arising out of this authorization or I/we hereby authorize IIFL to execute order under SIP on the basis of clear fund available in my ledger account and as per risk management policy.

I/We hereby authorize IIFL to debit my/our trading account held with IIFL towards my/our trade obligations and all the fees, charges, taxes, brokerage etc due and payable by me/us.

I/We understand that this authorization can be revoked by me/us at any time by giving a written notice atleast 30 days in advance to IIFL. I/We understand that such revocation shall be effective from the date of receipt of confirmation of the same from IIFL. I/We agree and undertake to fulfill all my/our obligations as per the instructions for systematic investment arising in my/our account before the effective date of such revocation.

I/We agree to abide by the Terms and Conditions applicable for Systematic Investment in Mutual Fund and/or Securities and any amendments thereto at all times.

I/We undertake to indemnify and keep indemnified IIFL and its directors / officers for all trades executed on my / our behalf as per the instructions given by me/us.

C. RUNNING ACCOUNT AUTHORISATION (Applicable in case opted)

Authorisation to IIFL Securities Limited

As per clause 2 of the circular, the provisions with regard to running account settlement of clients' funds and securities specified in SEBI Circulars MIRSD/ SE /Cir-19/2009 dated December 03, 2009 and SEBI/HO/MIRSD/MIRSD2/CIR/P/2016/95 dated September 26, 2016 shall stand modified and the said circulars shall be applicable only as guidelines for running account settlement of clients' "funds" only. However, it will be ensured that excess securities, so held in "Client Collateral/Collateral" account are released to clients along with their funds' settlement (i.e. once in every 30/90 days) after making necessary retention.

- a) I would like to keep securities purchased by me with you as collateral for giving me exposure limits in my trading account/margin obligation. I authorize you not to transfer shares/securities purchased by me to my demat beneficiary account and keep them with yourselves. I also authorise you to pledge these shares/ securities with the Clearing Member/ Exchange/Custodian, at your discretion. In case any of the shares/securities are sold in subsequent settlements, you may take this as a standing instruction to adjust against my previous purchase positions in any of Exchanges.
- b) Whenever I require delivery of any shares/securities, I shall send you a written request. I understand that such payout of securities will be made subject to your risk management policies.
- c) In case there is a debit balance in my account, you are authorized to sell at any point of time the shares/ securities held by me/ held on my behalf, at your sole discretion. Any profit or loss made on such transactions will be to my account as it would have occurred on normal purchase/sale made by me. I also agree to pay the balance amount, if any after deducting credit of sale of shares.
- d) I also request you not to issue cheques /make payments settlement wise unless specifically demanded by me, as payin and payout are very close and therefore exchange of cheque becomes unnecessary paper work.
- e) I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
- f) I further authorise you to set off/ adjust any of my debits/dues in any segment of any Exchange with credits of any other segment(s) of any Exchange(s) in my account within the period of settlement of my account (Securities and Funds) as opted by me.
- g) The Securities lying in client beneficiary account on my/our behalf and/or credit balances lying in my/our ledger account of any segments of any Exchanges can be considered as margin for the any segments of any Exchanges.
- h) I/We understand that this authorization shall remain valid until revoked by me/us. I/we undertake to clear all my dues arising during the validity of this authorization else the member shall recover all my/our dues in my/our ledger till date. I also undertake to clear all my dues to you before serving revocation of this authorisation else the member will recover all my dues in my ledger till date and then effect the revocation.
- I) I/We further wish to have settlement of my account (funds and securities) on quarterly / monthly basis as opted by me/us here in before.

I/We understand that settlement amount shall be subject to retention of requisite securities/ funds towards outstanding obligations and margins in my account calculated in the manner specified by SEBI/ Exchange and details mentioned in the "Statement of Account" at the time of settlement. I /We authorise you to send the statement of account on funds and securities as on the date of settlement to my internet trading account or e-mail id registered with you. I /We understand that I /We can obtain a copy of the same from any of your Branch offices.

I/We understand and authorize that you will not release the payout in case the balance after necessary retention is upto Rs.10000/- or any other sum as specified by Exchanges from time to time in any of the quarters, till my revocation in writing as I /We will be doing regularly trading with you.

I also undertake to bring any dispute arising from Statement of accounts or settlement so made to your notice within seven working days from the date of receipt of funds/securities or Statement as the case may be.

So kindly maintain my account as a running account basis for funds and securities.

D. AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE (Applicable in case opted)

I/We hereby consent to receive from IIFL Securities Limited the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my registered email id. I/We further hereby agree that the IIFL Securities Limited shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that:

- (i) The above is my/ our personal E-mail id. I/ We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. IIFL shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- (ii) E-mails sent to any of the above mentioned e-mail account, which have not bounced back, shall be deemed to be duly delivered to the me/us.

- (iii) IIFL shall not take cognizance of out-of-office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- (iv) Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by IIFL.
- (v) I/We further agree that IIFL may at its sole discretion also provide / discontinue such statements in physical form.
- (vi) IIFL shall not be liable or responsible for any statement received from frauds or impostors or any consequences thereof.
- (vii) IIFL shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from IIFL.
- (viii) I/We shall inform IIFL by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the Email given above.
- (ix) I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with IIFL. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
- (x) I/We shall inform in writing in prescribed format to IIFL to discontinue the said facilities. I/We and IIFL shall have the right to terminate such service provided a written notice is given at least 10 days in advance to the other party.

I/We shall immediately inform IIFL about change in email address, if any. I/We further agree that IIFL will not be responsible for nonreceipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify IIFL and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

- I/We am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/We myself/ourselves want the same in the electronic form.
- I/We am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only.
- Though the Member is required to deliver physical contract note, I/We find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/We am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/We have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is _____. This has been created by me/us and not by someone else.
- I/We am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- I am aware that non-receipt of bounced mail notification by member shall amount to delivery of the contract note at the above email id.

[The above declaration has been read and understood by me/us. I/We am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same]

E. AUTHORISATION FOR ONLINE TRADING SOFTWARE PASSWORD (Applicable in case opted)

I wish to use online Trading Software in this regards Following:-

- I. Please send my system-generated, internet account first time as well as subsequent, password on the registered mobile numbers. Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number. As soon as I receive the system generated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending.
- II. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the IIFL immediately and request for re-setting of my Password.
- III. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher for anybody else and should be preferably alpha-numeric and not my or any family member's name/ surname.
- IV. I am fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/ misuse of the Password. I understand IIFL will not be responsible or liable in any manner whatsoever for the same.

F. Availing IIFL Distribution Services (Applicable in case opted)

I/We understand that:

(a) IIFL Securities Limited (herein after referred as IIFL), its associates and subsidiaries of IIFL Holdings Ltd. are engaged in providing various financial services including distribution and execution services of various financial products. Accordingly, for providing said services IIFL and its associates may earn fees (including arranger fees) or commission from issuers of mutual funds, alternative investment funds, venture capital funds, debt instruments etc.

(b) Apart from above, investment may be made in securities of associates, investment transaction may be done with IIFL, its associates and group companies of IIFL as counterparties and IIFL, including its subsidiaries and associates may receive various form of remuneration linked to distribution services offered to the Client.

I/ We hereby agree to avail services like distribution of securities / financial products including but not limited to following offered by IIFL Distribution Services.




- Initial Public Offer/Follow on Public Offer /Offer for sale
- Mutual Funds
- Bonds, Debentures
- NPS
- Other financial products

1. I/We hereby give my/our consent to execute new Demat Debit And Pledge Instruction (DDPI) in favour of IIFL and enable IIFL to my investments & redemptions relating to IIFL Distribution Services being availed by me.
2. I/ We hereby authorize IIFL and its associates to disclose, share, remit in any form, mode or manner, all / any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/ us to associates of IIFL Group, issuers, brokers, Mutual Funds, AIFs, banks and other relevant parties ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other agencies without any obligation of advising me/ us of the same.
3. I/ We hereby declare that there is no action pending against me/us by any regulatory authority for violation of any law. There are no unpaid fines/penalties levied on me/us. I/We have not violated any law applicable to us or circular/regulations issued under any law as on date. I/We have no legal or regulatory proceedings pending against me/us for any financial crimes or violation of Securities laws initiated by SEBI/RBI/Banks or any other financial institution.

Pursuant to my/our instructions, I/We hereby authorize IIFL, to invest the balance lying in the my/our ledger account, demat account and/or bank account, in the units of mutual fund and/or in such other financial products of as specified above and redeem in part or full as and when to meet my account obligations with IIFL.

DECLARATION

- i. I am aware that the mobile number shall be updated in all your records and databases including trading and demat account.
- ii. I declare that the registered is my personal mobile number and is always in my safe custody. I shall keep IIFL informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, IIFL would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
- iii. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs alongwith my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.
- iv. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further,
- v. I agree and undertake to indemnify IIFL and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non-litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.
- vi. I/We confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents.
 - **SMS Alerts Facility by depository** : I/ We consent to CDSL / NSDL providing to the service provider such information pertaining to account/ transactions in my/ our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ We further undertake to pay fee/ charges as may be levied by the depository from time to time. I/ We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.
 - Terms & Conditions For Distribution of Securities.
 - Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUALFUND offered by NSE and BSE respectively.
 - Terms and Condition for availing systematic investment in Mutual fund/Securities
- vii. I/We declare and confirm that the authorisation will not be applicable for the product / services not opted by me/us
- viii. I/We hereby authorise the representatives/employees of IIFL or its group companies to give call on my/our registered mobile number and send any messages & emails on my registered mobile number & Email ID as mentioned in the account opening form to share any information/alert/message including but not limited to research data, trading calls, marketing and promotional messages/calls with reference to any products, promotions etc.

	Sole/First Holder (Mr./Ms.)	Second Holder (Mr./Ms.)	Third Holder (Mr./Ms.)
SIGNATURE			


IIFL House, Sun Infotech Park, Road No. 16V,
Plot No. B-23, MIDC, Thane Industrial Area,
Wagle Estate, Thane - 400 604

Request for availing e-DIS facility
(Applicable in case of joint accounts/ non- individual accounts)

DP ID								
Client ID								
Sole/First Holder Name or authorized person								
Second Holder Name or authorized person								
Third Holder Name or authorized person								

- ☐ We wish to use the e-DIS facility provided by IIFL Securities limited by accepting the instructions on the Depository system. We agree to be bound by the Bye-laws & Business Rules of NSDL/CDSL. We agree that the instructions as executed through e-DIS by anyone of the account holder(s) or survivor (s) shall discharge the Participant in full vis-a-vis all account holders. We further agree that any one of the account holders or Survivor (s) would accept such electronic instruction on depository system through OTP & PIN/Password confirmation or other verifiable mechanism.

 Sole/First Holder or authorized signatory

 Second Holder or authorized signatory

 Third Holder or authorized signatory
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For Branches and Locations of IIFL Securities Limited please visit our
website: www.indiainfoline.com



*IIFL Securities Limited, IIFL House, Sun Infotech Park, Road No. 16V, Plot No. B-23, MIDC, Thane Industrial Area, Wagle Estate, Thane - 400 604
Tel: (91-22) 3929 4000/ 4103 5000 • Fax: (91-22) 2580 6654
Member: BSE, BSE (F&O) NSE, NSE (F&O), MCX & NCDEX SEBI Registration No. INZ000164132
Portfolio Management Service INP 000002213, Merchant Banking INM 000010940,
Depository: CDSL & NSDL SEBI Registration No: IN - DP-185-2016*