

Form No. :

Religare Securities Limited

Client Code :

Account Opening Form (Individual & Non-Individual) Broking & Depository Services (NSDL)

Welcome

to



Benefits of trading with RSL

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ACCOUNT OPENING KIT

INDEX

S.No.	Name of the Document	Brief Significance of the Document	Page No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
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		*C. Document captures the additional information about the constituent relevant to demat account and an instruction/ check list.	11-17
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		B. Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	19
3.	Rights and Obligations	A. Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	L 1-6
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4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	L 10-13
5.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	L 14-15
6.	Policies and Procedure	Document describing significant policies and procedures of the stock broker.	L 16-22
*Mandatory if demat account to be opened			
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER & DEPOSITORY PARTICIPANT			
7.	Request for Trade Alerts through SMS and/or E-mail	Document requesting trade alerts through SMS &/or Email from Exchanges.	20-21
8.	Authorization For Sharing Personal Information	Document authorizing stock broker to share personal information to receive offers and information on various products/services etc.	
9.	Authority Letter to Pledge the shares/securities	Document authorizing stock broker to pledge clients shares/securities lying towards margin / collateral.	
10.	Verbal Order Acceptance Authorisation	Document authorizing Stock Broker/Trading Member to accept verbal orders in the manner mentioned therein.	
11.	Running Account Authorisation	Document authorizing Stock Broker/Trading Member to maintain the running account of funds and securities in the manner mentioned therein.	
12.	Letter of Authority	Authorisation for accepting instructions from third person.	22
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Name of stock broker/trading member/clearing member: Religare Securities Limited

Name of Stock Exchange and Depository	SEBI Registration Number and Date
National Stock Exchange of India Limited	Cash -INB230653732 November 1, 1994 F&O -INF230653732 November 15, 2000 Currency Derivatives -INE230653732 August 25, 2008 Debt - November 29, 2013
BSE Limited	Cash - INB010653732 October 15, 2004 F&O - INF010653732 February 19, 2007 Currency Derivatives December 13, 2013 Debt - August 12, 2013
Metropolitan Stock Exchange of India Limited	Cash -INB260653739 February 05, 2013 F&O -INF260653739 February 05, 2013 Currency Derivatives -INE260653732 November 20, 2008 Debt - December 30, 2013
National Securities Depository Limited	DP ID: IN301774 IN-DP-NSDL-150-2000 July 19, 2000
Central Depository Services (India) Limited	DP ID: 30200 IN-DP-CDSL-202- 2003 February 27, 2003

Registered Office Address

D3, P3B, District Centre, Saket, New Delhi – 110017
Ph: +91-11-3912-5000 | Fax: +91-11-3912-6050 | Website: www.religareonline.com

Correspondence Office Address

A-3/4/5, GYS Global, Sector-125, Noida-201301 (U.P.)
Ph: 0120-339-1000 | Fax: 0120-339-4555 | Website: www.religareonline.com

Compliance Officer Details

Name : Mr. Vikas Sethi
Phone No. : 0120-339-1000
Email Id : compliance@religare.com

CEO Details

Name : Mr. Nitin Jain
Phone No. : +91-11-3912-5000
Email Id : ceo.rsl@religare.com

For any grievance/dispute please contact Religare Securities Limited at the above address or email id: igreligare@religare.com and Phone No. T: 1860 25 88888. In case not satisfied with the response, please contact the concerned exchange(s) at:

Exchange Name	Email Id	Phone No.
NSE	ignse@nse.co.in	022-26598100
BSE	is@bseindia.com	022-22721233/34
MSEI	investorcomplaints@msei.in	022-61129000 Ext. 9028
Senior Manager, Investor Services Centre, Metropolitan Stock Exchange of India Limited, Exchange Square, Suren Road, Chakala, Andheri(East), Mumbai-400 093		

ACKNOWLEDGEMENT

I/We acknowledge receipt of the documents at serial 3, 4, 5, 6, 15, 16 & 17 mentioned overleaf under INDEX. I/We have read the contents of these and agree to abide by them. I/We further understand that the copies of rest of the documents mentioned in Index shall be provided to me/us after Verification/Acceptance / Execution by the broker and Depository Participant.



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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 Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Unique Identification Number (UID) (Aadhaar) / Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale

Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.

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

D. Exemptions/clarifications to PAN (*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs. 50,000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, 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).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

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

INSTRUCTIONS/ CHECK LIST (for filling additional information related to trading account)

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

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

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

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

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)

PHOTOGRAPH

Please affix your recent passport size photograph


Signature Across Photograph

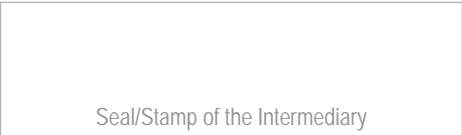
Religare Securities Limited
A-3/4/5, GYS Global,
Sector-125, Noida-201301 (U.P.)

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

A. IDENTITY DETAILS	
1.	Name of the Applicant
2.	Father's / Spouse Name
3.	a) Gender <input type="checkbox"/> Male <input type="checkbox"/> Female b) Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married c) Date of Birth
4.	a) Nationality <input type="checkbox"/> Indian <input type="checkbox"/> Others Pls. specify _____ b) Status <input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National
5.	a) PAN _____ b) Aadhaar Number, if any _____
6.	Specify the proof of Identity submitted <input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (please specify).....

B. ADDRESS DETAILS	
1.	Residence / Correspondence Address
	City/Town/Village PIN Code
	State Country
2.	Specify the proof of address submitted for Residence/Correspondence Address
3.	Contact Details
	Tel. (Off.) _____ with STD Code _____ Tel. (Res.) _____ with STD Code _____
	Fax No. _____ with STD Code _____ Mobile No. _____
	Email ID _____
4.	Permanent Address (if different from above. Mandatory for Non-Resident Applicant to specify overseas address)
	City/Town/Village PIN Code
	State Country

C. 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.	
Date	<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"/>
	
	Signature of the Applicant

FOR OFFICE USE ONLY	
In person Verification (IPV) Details:	
Name of the person who has done the IPV: _____	
Designation: _____ Employee ID: _____	
Name of Sub-Broker/Authorised Person _____	
Name of the Organization: Religare Securities Ltd.	
Date of IPV: <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"/>	
	Signature of the person who has done the IPV
	
	Seal/Stamp of the Intermediary
	Signature of the Authorised Signatory

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)

PHOTOGRAPH

Please affix your recent passport size photograph

Signature Across Photograph

Religare Securities Limited
A-3/4/5, GYS Global,
Sector-125, Noida-201301 (U.P.)

Please fill this form in ENGLISH and in BLOCK LETTERS

A. IDENTITY DETAILS	
1.	Name of the Applicant <input style="width: 95%;" type="text"/>
2.	Date of incorporation <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> Place of incorporation <input style="width: 60%;" type="text"/>
3.	Date of commencement of business <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/>
4.	a) PAN <input style="width: 20%;" type="text"/> b) Registration No. (e.g. CIN) <input style="width: 60%;" type="text"/>
5.	Status (please tick any one) <input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non Government Organization <input type="checkbox"/> Defense Establishment <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> BOI <input type="checkbox"/> Others (please specify) _____

B. ADDRESS DETAILS	
1.	Correspondence Address <input style="width: 95%;" type="text"/> City/Town/Village <input style="width: 60%;" type="text"/> PIN Code <input style="width: 15%;" type="text"/> State <input style="width: 20%;" type="text"/> Country <input style="width: 20%;" type="text"/>
2.	Specify the proof of address submitted for correspondence address <input style="width: 95%;" type="text"/>
3.	Contact Tel. (Off.) <input style="width: 15%;" type="text"/> with STD Code <input style="width: 15%;" type="text"/> Tel. (Res.) <input style="width: 15%;" type="text"/> with STD Code <input style="width: 15%;" type="text"/> Details Fax No. <input style="width: 15%;" type="text"/> with STD Code <input style="width: 15%;" type="text"/> Mobile No. <input style="width: 20%;" type="text"/> Email ID <input style="width: 40%;" type="text"/>
4.	Registered Address (if different from above) <input style="width: 95%;" type="text"/> City/Town/Village <input style="width: 60%;" type="text"/> PIN Code <input style="width: 15%;" type="text"/> State <input style="width: 20%;" type="text"/> Country <input style="width: 20%;" type="text"/>

C. OTHER DETAILS	
1. Name, PAN, residential address and photographs of Promoters/ Partners/Karta/Trustees and whole time directors:	If space is insufficient, enclose these details separately (Illustrative format enclosed on page no. 5 & 6)
2. DIN of whole time directors	
3. Aadhaar number of Promoters/Partners/Karta	

D. DECLARATION	
<p>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. Date <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/> <input style="width: 15%;" type="text"/></p>	<div style="border: 1px solid black; height: 40px; width: 100%;"></div> <p style="text-align: center;">Name & Signature of the Authorised Signatory(ies)</p>

FOR OFFICE USE ONLY	
<p>In person Verification (IPV) Details: Name of the person who has done the IPV: _____ Designation: _____ Employee ID: _____ Name of Sub-Broker/Authorised Person _____ Name of the Organization: Religare Securities Ltd. Date of IPV: <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> / <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> / <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/> <input style="width: 10%;" type="text"/></p> <p style="text-align: right;">Signature of the person who has done the IPV _____</p>	<div style="border: 1px solid black; height: 60px; width: 100%;"></div> <p style="text-align: center;">Seal/Stamp of the Intermediary</p>
<input type="checkbox"/> Original Verified and Self Attested Document copies received	Date : _____
Signature of the Authorised Signatory _____	

DETAILS OF AUTHORISED SIGNATORY(IES)/ PROMOTERS/ PARTNERS/ KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

Name of Applicant										
PAN of the Applicant										

1. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN/Aadhaar No.*					
	Residential/Registered Address										
	City/Town/Village					PIN					
	State					Country					
	Contact Details		Phone No.				Mobile No.				
		E-mail ID									
Whether Politically Exposed											<input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO

2. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN/Aadhaar No.*					
	Residential/Registered Address										
	City/Town/Village					PIN					
	State					Country					
	Contact Details		Phone No.				Mobile No.				
		E-mail ID									
Whether Politically Exposed											<input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO

3. Name											PHOTOGRAPH Please affix your recent passport size photograph and sign across it
	Relationship with Applicant (i.e. promoters, whole time directors etc.)										
	PAN					DIN/Aadhaar No.*					
	Residential/Registered Address										
	City/Town/Village					PIN					
	State					Country					
	Contact Details		Phone No.				Mobile No.				
		E-mail ID									
Whether Politically Exposed											<input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO

***DIN for Directors / Aadhaar No. for others**



Name & Signature of the Authorised Signatory(ies)

In person Verification (IPV) Details:	
Name of the person who has done the IPV: _____	Employee ID: _____
Designation: _____	
Name of Sub-Broker/Authorised Person _____	
Name of the Organization: Religare Securities Ltd.	
Date of IPV: D D / M M / Y Y Y Y	
Signature of the person who has done the IPV _____	

5 Date	D	D	M	M	Y	Y	Y	Y
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DETAILS OF AUTHORISED SIGNATORY(IES)/ PROMOTERS/ PARTNERS/ KARTA / TRUSTEES AND WHOLE TIME DIRECTORS FORMING A PART OF KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS

Name of Applicant										
PAN of the Applicant										

4. Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)										PHOTOGRAPH Please affix your recent passport size photograph and sign across it								
	PAN											DIN/Aadhaar No.*							
	Residential/ Registered Address	City/Town/Village										PIN							
		State						Country											
		Contact Details	Phone No.						Mobile No.										
		E-mail ID																	
	Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO																		

5. Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)										PHOTOGRAPH Please affix your recent passport size photograph and sign across it								
	PAN											DIN/Aadhaar No.*							
	Residential/ Registered Address	City/Town/Village										PIN							
		State						Country											
		Contact Details	Phone No.						Mobile No.										
		E-mail ID																	
	Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO																		

6. Name	Relationship with Applicant (i.e. promoters, whole time directors etc.)										PHOTOGRAPH Please affix your recent passport size photograph and sign across it								
	PAN											DIN/Aadhaar No.*							
	Residential/ Registered Address	City/Town/Village										PIN							
		State						Country											
		Contact Details	Phone No.						Mobile No.										
		E-mail ID																	
	Whether Politically Exposed <input type="checkbox"/> RPEP: Related to Politically Exposed Person <input type="checkbox"/> PEP: Politically Exposed Person <input type="checkbox"/> NO																		

***DIN for Directors / Aadhaar No. for others**



Name & Signature of the Authorised Signatory(ies)

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

In person Verification (IPV) Details:	
Name of the person who has done the IPV:	_____
Designation:	_____ Employee ID: _____
Name of Sub-Broker/Authorised Person	_____
Name of the Organization:	Religare Securities Ltd.
Date of IPV:	D D / M M / Y Y Y Y
Signature of the person who has done the IPV	

ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT (For Individuals & Non-Individuals)

A. BANK ACCOUNT(S) DETAILS (1)

Bank Name																									
Branch Address																									
City/Town/Village																			PIN Code						
State							Country																		
Bank Account No.																									
Bank Account Type	<input type="checkbox"/> Savings		<input type="checkbox"/> Current		<input type="checkbox"/> Others_____		In case of NRI :		<input type="checkbox"/> NRE		<input type="checkbox"/> NRO														
MICR Code							IFSC																		

BANK ACCOUNT(S) DETAILS (2)

Bank Name																									
Branch Address																									
City/Town/Village																			PIN Code						
State							Country																		
Bank Account No.																									
Bank Account Type	<input type="checkbox"/> Savings		<input type="checkbox"/> Current		<input type="checkbox"/> Others_____		In case of NRI :		<input type="checkbox"/> NRE		<input type="checkbox"/> NRO														
MICR Code							IFSC																		

B. DEPOSITORY ACCOUNT(S) DETAILS (1)

Depository Participant Name																									
Depository Name (NSDL/CDSL)	<input type="checkbox"/> NSDL		<input type="checkbox"/> CDSL																						
Beneficiary Name																									
DP ID							Beneficiary ID (BO ID)																		

DEPOSITORY ACCOUNT(S) DETAILS (2)

Depository Participant Name																									
Depository Name (NSDL/CDSL)	<input type="checkbox"/> NSDL		<input type="checkbox"/> CDSL																						
Beneficiary Name																									
DP ID							Beneficiary ID (BO ID)																		

C. OTHER DETAILS

Gross Annual Income Details (please specify)	Income Range per annum	Net- worth Amount (₹)							
	<input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore	As on (date) <table border="1" style="display: inline-table; vertical-align: middle;"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table> (Net worth should not be older than 1 year)	D	D	M	M	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others_____								
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)								
Any other information									

WITNESSES (Only applicable in case the account holder has made nomination)

Name (1)

Address

PIN Code

Signature

Name (2)

Address

PIN Code

Signature

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 read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s) and 'Risk Disclosure Document'. I/we do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website: www.religareonline.com.

Date



Signature of Client/(all) Authorized Signatory(ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee/AP/SB	<input type="text"/>	<input type="text"/>	<input type="text"/>
Employee Code	<input type="text"/>	<input type="text"/>	<input type="text"/>
Designation of the Employee/AP/SB	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date	<input type="text"/>	<input type="text"/>	<input type="text"/>
Signature	<input type="text"/>	<input type="text"/>	<input type="text"/>

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 'Right and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Right and Obligations' and RDD would be made available on my/our website: www.religareonline.com, for the information of the clients.

Seal/Stamp of the stock broker

Signature of the Authorised Signatory

*AP: Authorized Person SB: Sub-broker

Date 10

TARIFF SHEET

PRODUCT PLAN* / BROKERAGE

Religare (*Scheme details as per executed addendum)

CASH SEGMENT

Brokerage	in% (subject to max. of 2.5%)	Minimum Paise (subject to max. 25 paise)	One Side/Both Side
Delivery Based			
Daily Square up			

Minimum brokerage charge for trading in illiquid/high risk scrips in cash segment will be .50% on delivery and .05% on intraday turnover with minimum 5 paise (Scrip list available under client login).

DERIVATIVE SEGMENT

Brokerage	in% (subject to max. 2.5% / ₹100/- Per Lot)	Minimum Paise/ Per Lot	One Side / Both Side
Future			
Option			

CURRENCY DERIVATIVES & INTEREST RATE FUTURES SEGMENT

Brokerage	Brokerage per lot (in ₹)	One Side / Both Side
Future		
Option		

OTHER CHARGES

Nature of Charge	Applicable Charge
a) Annual Subscription Fee for EXE Based Diet Users	₹ 999/- per annum.
b) Inter Settlement Charges	₹ 15/- (plus service tax) per transaction
c) Administrative Charges - Offline for offline order on per executed order	₹ 10/- (Maximum ₹ 50/- per day /per segment)
d) Delayed Payment Charges – On overdue balance towards trading or margin (Standard rate per annum)	21%
e) Account Processing Charges	₹ 500/-

In addition to brokerage additional charges including statutory levies i.e. stamp duty, exchange transaction charges, SEBI fees, service tax, STT, other taxes and levies, investor protection fund fees etc. charged by the statutory authorities/ Exchange(s), delayed payment charges, cheque bounce charges, auction settlement charges as may be applicable will be levied. For details please login on our website www.religareonline.com

I/We understand that economic conditions change over time and therefore agree that RSL is authorized to change the tariff in future.



Date

Client Signature

LIMITED PURPOSE POWER OF ATTORNEY

I/we an individual/a sole proprietary concern/a partnership firm/a HUF/a body corporate or any other legal entity registered/incorporated under the provisions of a relevant act, whose particulars are given hereunder at the execution page hereinafter referred to as "Donor" which expression shall, unless it be repugnant to the meaning or context thereof, be deemed to mean and include my/our heirs, executors, administrators, permitted assigns, the partners of the firm and the survivors of them and the heirs, executors and administrators of the partners, successors in title, trustees of a Trust and their successors, member of the governing body and any new members elected appointed or co-opted as the case may be of a society, having residence/office at the place mentioned at the execution page (residence address for individuals, office address for proprietorship and partnership and HUF and registered office for companies, trusts and societies), do send greetings: Whereas:

- A. The Donor is registered / is registering / desires to register with Religare Securities Limited, a Company incorporated under the Companies Act, 1956 and having its registered office at D3 P3B District Centre, Saket, New Delhi -110017 Phone : 011-39125000 (hereinafter referred to as "the Donee" which means the stock broking division of Religare Securities Limited) as a client /constituent, and
- B. The Donor wants that Donee should consider the securities/funds in the demat account/bank account (details of which are given on execution page) of donor as margin / collateral / security for dealings of Donor done/ to be done /expected to be done through /with Donee; and
- C. The Donor wants Donee to transfer securities/funds to Donee's demat BO account/ Donee's Bank Account (details of which are given on the execution page) for creating/maintaining collateral/ security/ margin; and
- D. The Donor wants Donee to make pay in and pay out of securities and/or funds (including pay in / pay out due to exercise of rights by Donee over securities/funds considered as margin/collateral/security) to stock exchange/clearing corporations / clearing house etc. as may be required from time to time; and
- E. The Donor wants to make investments in Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. and wants Donee to give effect to desires/ requirements of Donor to sign any documents and / or do any and all act(s) as may be required for these purposes from time to time; and

NOW KNOW YE ALL MEN AND THESE PRESENTS WITNESSETH that I/we the donor do hereby nominate constitute and appoint the said Religare Securities Limited as my/our true and lawful Attorney for me / us and in my / our name and on my / our behalf and at my / our cost and expense to do and / or cause to be done the acts, deeds or things for the limited purposes as under:

1. Securities

- i. Transfer of securities held in the beneficial owner account(s) (details of which are given on the execution page) of the Donor towards stock exchange related margin / delivery obligations arising out of trades executed by the Donor on the stock exchange through the Donee,
- ii. Pledge the securities in favour of Donee for the limited purpose of meeting the margin requirements of the Donor in connection with the trades executed by the Donor on the stock exchange through the Donee,
- iii. To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. pursuant to the instructions of the Donor.

2. Funds:

Transfer of funds from the bank account(s) of the Donor (details of which are given on the execution page) to the bank account(s) of Donee (details of which are given on the execution page) for the following:

- i. For meeting the settlement obligations of the Donor / margin requirements of the Donor in connection with the trades executed by the Donor on the stock exchange through the Donee.
 - ii. For recovering any outstanding amount due from the Donor arising out of Donor's trading activities on the stock exchanges through the Donee.
 - iii. For meeting obligations arising out of the Donor subscribing to such other products/facilities/services through the Donee like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc.
 - iv. Towards monies/fees/charges, etc. due to the Donee/Depository Participant/ Principal payable by virtue of the Donor using/subscribing to any of the facilities/services availed by the Donor at his/her instance.
3. Donee may send consolidated summary of Donor's scrip-wise buy and sell positions taken with average rates to the Donor by way of SMS / email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
 4. Donee would return to the Donor, the securities that may have been received by it erroneously or those securities that it was not entitled to receive from the Donor.



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

5.1 Details of beneficial owner account and Bank Account details of Donor that Donee is entitled to operate for the limited purpose of transferring securities to below mentioned Pool/Margin beneficial owner accounts/Bank accounts of Donee.

i. Donor Beneficial Owner Account :

DP Name	DP ID	BO Account No.
Religare Securities Limited	I N 3 0 1 7 7 4	

ii. Donor Bank Account :

Name of Bank	Bank Account No.

5.2 Details of Donee's Pool/Margin accounts and Bank accounts where fund and securities can be moved:

i. Donee's Pool/Margin beneficial owner Account :

Demat A/c Purpose	NSDL	CDSL	CM Name	
NSE Pool A/c	IN558537	12030200 00000039 (Normal), 12030200 00031889 (SLBS)	Religare Securities Limited	
BSE Pool A/c	IN630043	12030200 00000062 (Normal Pay-In), 12030200 00000081 (Normal Pay-Out) 12030200 00031802 (SLBS Pay-In), 12030200 00031762 (SLBS Pay-Out)		
MSEI Pool A/c	IN471915	12030200 00093441		
NSE MFSS A/c	IN565576	11000011 00017837	NSCCL	
BSE STAR MF A/c	IN640016	11000029 00000011	BOISL/ICCL	
Demat A/c Purpose	DP Name	DP ID	Depository	Beneficiary ID
Margin A/c	Religare Securities Limited	IN301774	NSDL	10000167 / 10099144
		12030200	CDSL	00000024

ii. Donee's Bank Account :

Name of Bank	Bank Account No.

I/We request you to consider the shares/funds in my/ our demat account/bank account as margin / security against my/our obligations, I/We agree that therefore an interest will get created in your favour against the shares/funds in my/our account, I /We agree that our actions with respect to power granted to you shall not be detrimental to your ability to satisfy my/our margin/ pay-in obligations.

I / we do hereby undertake to ratify whatever the said Attorney may lawfully do in and by virtue of these presents.

Witness whereof I/we have executed this power of attorney on this day of at



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

Name

Address

Name

Address

Name

Address

Witness-I	
Name	<input type="text"/>
Address	<input type="text"/>
Signature	<input type="text"/>

Witness-II	
Name	<input type="text"/>
Address	<input type="text"/>
Signature	<input type="text"/>

Notary Public	
Name	<input type="text"/>
Address	<input type="text"/>
Signature	<input type="text"/>

Attestation by Notary Public or witness that this Power of Attorney was executed by the donor(s) above named before me/us.



Experience Smart, Simple & Personalised
way of trading with

www.religareonline.com

Registered office:

D3, P3B, District Centre, Saket, New Delhi-110017.

If undelivered, please return to: GYS Global, 7th Floor,
A-3,4,5, Plot No. 11, Sector 125, Noida-201301.

