

ACCOUNT OPENING KIT

INDEX

Sl. No.	Name of the Document	PARTICULARS	Pages
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A KYC form - Document captures the basic information about the constituent and an instruction/check list. Individual Non-Individual Instruction Check List B. Document captures the additional information about the constituent relevant to trading account.	A3 - A4 A5 - A7 B2 - B3* A9 - A12
2.	Rights and Obligations	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).	B4 - B7*
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	B8 - B10*
4.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	B11*
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	A13 - A15
6.	Tariff Structure	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	A16
7.	Investor Grievance contact	Document gives detail about the contact points of the client in case of any grievance	A17
8.	FATCA Declaration	Document detailing country of Tax Residency	A18 - A25
9.	SMS & E-mail Alert	Document detailing Mobile Number and E-mail ID	A26

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MANDATORY

KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR INDIVIDUAL



East India Securities Ltd
Excellent | Investment | Solutions

To
East India Securities Ltd.

Part - A

DA-14, Salt Lake, Sector - 1, Kolkata-700 064

I / We request you to register me / us as your client & in this regard following information is furnished.

Personal Details

Name [Block Letters] _____

Permanent Address _____

Near _____ City _____

Pin [Compulsory] _____ State _____

Country _____ Nationality _____

*Paste Photograph
and Sign
across Photograph*



Proof of Permanent Address _____

Address for Correspondence _____

Near _____ City _____ Pin [Compulsory] _____

State _____ District _____ Country _____

Proof of Address for Correspondence _____

Date of Birth ____/____/____ Gender Male Female Transgender

Marital Status Married Unmarried Widow / Widower Divorced Other _____

Father's /Spouse's Name _____ Mother's Name _____

Maiden Name (if any) _____ Mobile _____ E-mail _____

Phone _____ Proof of Identity Submitted _____

Occupation Details

- Private Sector Public Sector Government Service Business Professional Agriculturist
 Retired House Wife Student Self Employed Others, please specify _____

[Please Tick whichever is applicable]

Name of Employer / Establishment _____

Office Address _____

City _____

Pincode _____ State _____ Country _____

Phone No. _____ Fax/Telefax No. _____

Status

Resident Individual Non Resident Indian Foreign National Person of Indian Origin
[Please Tick whichever applicable]

Please tick on the Appropriate Box

Politically Exposed Person (PEP) Related to Politically Exposed Person Not applicable

Annual Income [Rs.]

Less than 1 Lakh 1 Lakh to 5 Lakhs 5 Lakhs to 10 Lakhs 10 Lakhs to 25 Above 25 Lakhs
[Please Tick whichever applicable]

Details of Proof Submitted by Client

PARTICULARS	NO.	ISSUE PLACE	ISSUE DATE
VOTER ID CARD			
PASSPORT			
RATION CARD			
DRIVING LICENCE			
10 DIGIT PAN			
UID			

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.

 2
22

Signature of the Client

Date : _____(dd/mm/yyyy)

For Office Use Only

- (Originals verified) True copies of documents received
 (Self-Attested) Self Certified Document copies received

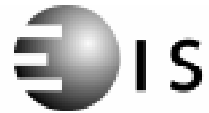
(.....)
Signature of the Authorised Signatory

Date

(Seal/Stamp of the intermediary)

MANDATORY

KNOW YOUR CLIENT APPLICATION FORM FOR NON-INDIVIDUAL



East India Securities Ltd
Excellent | Investment | Solutions

To

Part - A

East India Securities Ltd.

DA-14, Salt Lake, Sector - 1, Kolkata-700 064

I / We request you to register me / us as your client & in this regard following information is furnished.

Status of Client (Tick whichever applicable)

- | | | | | |
|------------------------------------|--|--|--|--------------------------------|
| <input type="checkbox"/> Pvt. Ltd. | <input type="checkbox"/> Public Ltd. Co. | <input type="checkbox"/> Body Corporate | <input type="checkbox"/> Partnership | <input type="checkbox"/> Trust |
| <input type="checkbox"/> Charities | <input type="checkbox"/> NGO | <input type="checkbox"/> FII | <input type="checkbox"/> HUF | <input type="checkbox"/> AOP |
| <input type="checkbox"/> Bank | <input type="checkbox"/> Govt. Body | <input type="checkbox"/> Non-Govt. Orgs. | <input type="checkbox"/> Defense Establishment | <input type="checkbox"/> BOI |
| <input type="checkbox"/> Society | <input type="checkbox"/> LLP | <input type="checkbox"/> Others (Please specify) _____ | | |

Clients Details

Name [Block Letters] _____
Date of Incorporation ____ / ____ / ____ Place of Incorporation _____
Date of Commencement of Business ____ / ____ / ____ Regn.No. (CIN) _____
PAN _____ SEBI Regn.No. (If applicable) _____

Registered Office

**A
D
D
R
E
S
S**

Near _____ City _____
State _____ Country _____ Pin [Compulsory] _____
Phone _____ FAX _____ Mobile _____
E-mail _____
Proof of Registered Office Address _____

Correspondence Office

**D
E
T
A
I
L
S**

Near _____ City _____
State _____ Country _____ Pin [Compulsory] _____
Phone _____ FAX _____ Mobile _____
E-mail _____
Proof of Correspondence Office Address _____




Annual Income [Rs.] (Please Tick whichever applicable)

Less than 1 Lakh
 1 Lakh to 5 Lakhs
 5 Lakhs to 10 Lakhs
 10 Lakhs to 25 Lakhs
 25 Lakhs to 1 Crore
 > 1 Crore

Net Worth

Net Worth as on (Date) ____/____/____ : _____ (Net worth should not be older than one year)

Detail of Promoters / Directors / Proprietor / Trustee / Karta / Partners / Authorized Signatories / Key Managerial Personnet of the Company Firm (In case of company details of all shareholders holding 5% or more)

	1st Signatory	2nd Signatory	3rd Signatory
Name			
Residential Address [With Pin Code]			
PAN			
UID			
Telephone No.			
E-mail			
Designation			
DIN			
Qualification & Experience			
Equity Stake [%]			
Politically Exposed (Yes/No)			
Related to Politically Exposed (Yes/No)			
Photograph of The Signatory (Signature Across Photo)			

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.



Name & Signature of the Authorised Signatory

Date : _____(dd/mm/yyyy)

For Office Use Only

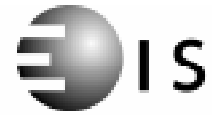
- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

(.....)
Signature of the Authorised Signatory

Date

(Seal/Stamp of the intermediary)





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MANDATORY**KNOW YOUR CLIENT APPLICATION FORM**
 East India Securities Ltd
 Excellent | Investment | Solutions
Part - B**Investment / Trading Experience**

_____ years in Stocks, _____ years in derivatives, _____ years in other investment related fields.

Trading Preference

I/We would like to trade in following segments / exchange :

Exchange & Segment	Signature of Client	Exchange & Segment	Signature of Client
NSE CM	 5/22	NSE CDX	 7/22
NSE FO	 6/22	BSE CM	 8/22

Bank A/C Details

Sl. No	Bank Name	Branch	Account No.	A/C Type	MICR Code	IFSC Code
1						
2						
3						

Demat Account Details

Sl. No	DP Name	DPID	Client ID	(Depository Name (NSDL / CDSL))
1				
2				
3				

Past Actions

Details of any action/proceeding 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 :

Whether you wish to avail Physical Contract Note Electronic Contract Note

Do you wish to avail Internet Trading? Yes No.

Introducer Details (Optional)

Name _____

Status: Sub-broker Remisier Auth.Person ExistingClient Other

[Please Tick whichever is applicable]

Address _____

Phone _____ Fax _____ E-mail _____

Signature of Introducer _____

Nomination Details (Only For Individuals)

I/We wish to Nominate I/We do not wish to nominate

Name of Nominee _____

Relationship of Nominee _____ Date of Birth of Nominee _____

Address _____

PhoneNo. _____ PanNo. _____

If nominee is a minor, details of Guardian :

Name of Guardian _____

Address _____

PhoneNo. _____ PanNo. _____

Signature of Guardian _____

Witness (Required only if Nomination Done)

1st Name _____

2nd Name _____

Address _____

Address _____

Signature _____

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 'Rights and Obligations' document(s) and 'Risk 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.
4. I/We further confirm that we have received a copy of all the KYC documents.

 9 22
 9 22
 9 22

Place _____

Date _____

Signature of Client / Signature of 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			
Employee Code			
Designation of the employee			
Date			
Signature			

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 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 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date _____

Seal / Stamp of the Stock Broker

MANDATORY

POLICIES AND PROCEDURES

A. Penny/illiquid/physical Shares :

Broker has right to refuse orders for penny/illiquid/physical shares. I/we agree that I/we will have no objection to the right of broker to refuse orders for such scripts. I/we agree that broker will not be responsible for any financial loss incurred in such scrip.

B. Setting Limits :

I/we agree that all decision with regard to the amount that may be placed as margin, the exposure available to me/us as against funds deposited by me/us and the authorized trading limit shall be decided by the stock broker at their sole discretion and no reason thereof is required to be given to me/us.

The basis on which limits, exposures can be allowed to me/us are subject to change from time to time at the sole discretion of the broker and I/we have no right to object to such changes.

C. Payment of Margin/Collateral/Deposits :

I/we agree to pay margins/collaterals/deposits/securities to the stock broker, on the transactions and contracts executed/to be executed, of the amount, in the form and within the time schedule as required by the stock broker.

I/we are entitled to refund of the margin/collaterals/deposits/securities provided I/we have no outstanding dues or obligation in any segment/exchange towards the stock broker.

D. Pay-in of Funds and Securities :

I/we agree to pay immediately any amount which is payable by me/us as a result of the transaction done on my/our behalf .I/we agree to deliver immediately any securities which are deliverable by the client as a result of the transaction done on his/her/its behalf. I/we agree to pay immediately MTM amount payable for transaction done in futures and options/Currency Segment.

I/we agree to submit cheque towards pay-in of funds to stock broker's office within one day of trading. I/we agree to meet my/our pay in of securities to stock brokers POOL account within the time specified for pay in.

E. CLOSE OUT :

1. **In case of Purchase :** In case of purchase on behalf Client, the Client authorizes the Member to close out the transactions by selling the securities in case the Client fails to make full payment to the Member for the execution of the contract before pay-in-day (as fixed by stock exchange for the concerned settlement period), unless the Client already has an equivalent credit with the Member. The loss incurred in this regard, if any, will be met from the margin money of the Client. The Client agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by the Member. The close out however will be to the extent of shortfall of the client.
2. **In case of Sale :** In case of sales on behalf of Client, the Client authorizes the Member to close out the contract by effecting purchase if the Client fails to deliver the securities sold with valid transfer documents within delivery day (as fixed by stock exchange authorities for concerned settlement period), Cost of the transaction (i.e. close out) will be deductible from the margin money of the Client. The Client agrees to make good the shortfall, if any, immediately on being intimated of the shortfall by the Member.

F. Rights of Stock Broker against Non Payment of margin/debit obligation :

I/we agree that stock broker has right to sell/square-off/adjust, without any notice to me/us, any margin/ deposit/collaterals/money/securities provided by me/us to the stock broker in any segment/exchange, to

recover any dues/margin/interest payable to stock broker in any/all exchange/segment. Such right of the stock broker will be limited to the extent of my/our debit balance/margin shortfall and/or Interest in all exchange/segment in which I/we am/are registered with the stock broker.

I/we agree that stock broker has right to square off my existing outstanding position in any segment, without any notice to me/us, If I/we don't provide adequate margin to the stock broker in such segment. Such right of the stock broker will be limited to the extent of my/our debit balance/margin shortfall in all exchange/segment in which I/we am/are registered with the stock broker.

I/we agree that stock broker has right to close/sq-off my/our position at any point of time due to non/delay payment of payin/margin obligation to the stock broker.

G. Delay Payment Charges/ Penalty Charges :

I/we agree to reimburse deemed financial cost incurred by the stock broker resulting due to non payment/ delay payment of the margin/pay-in/other obligation resulting due to transaction carried out on my/our behalf.

I/we agree that to pay delay payment charges upto @ 2 % per month or part thereof for all delayed payments towards short/non margin payment and/or non/delay payment of obligation to the stock broker. I/we will not object for debit of delay payment charges to my/our ledger account from time to time by the stock broker. I/we understand that if we meet our obligation and payments on time, we can avoid delay payment charges/Interest/Penalty.

I/we understand that the broker is not extending any client funding to me/us and charging of delay payment is incidental to the normal business transaction done by me/us with the stock broker and with a sole intention to reimburse incidental financial cost to the stock broker.

I/we further agree to pay penalty for not meeting my/our funds/securities obligation from time to time. The penalty will be charged at the sole discretion of the stock broker and will be agreed to me/us.

I/we further agree to reimburse to the stock broker any statutory penalty levied by any regulatory authority on transaction carried out on my/our behalf or due to any lapse on my /our part.

I/we further agree that stock broker is not liable to pay any interest to us on margin/collateral/securities/ money provided by me/us to the stock broker in any exchange/segment.

H. Shortage in obligation due to Internal Netting of Trades :

In case client has purchased shares and counter party has not delivered the shares to the broker by the pay in time due to some mistake on his/her part and counter party wishes to deliver the shares after pay in time is over, the client will get it's shares after the counter party delivers it to the POOL Account of stock broker.

In case counter party is unable to deliver the shares even after pay-in time shares will be purchased in the client code of the counter party on the day of pay in and the client will get shares from broker on the day of pay out of the purchase of shares by the counter party.

In any case broker will not be responsible for any financial loss that may arise due to shortage in obligation due to Internal Netting of Trades.

I. Temporary Suspension of Account :

Client can request the stock broker to suspend its trading account temporary period. The client can do so by writing giving specific details of suspension.

The account will be reactivated only upon written request from the client himself and updating its KYC details.

J. Brokerage Rate :

I/we agree to pay to the stock broker brokerage at following rates on transaction done by me/us:-

Nature of Transaction	Percentage Rate (On Value of Transaction)	Minimum Brokerage
Delivery Trade		
Sq off Trade (Chargeable each Leg of Transaction)		
Futures		
Options (Application on Strike + Premium)		
Others(Please Specify)		


I/we further agree to pay other statutory charges like GST, stamp duty, exchange TOT, SEBI TOT and other statutory charges levied by regulatory authorities on transaction carried out by me/us at relevant rates to the stock broker, over and above the brokerage charged to me/us.

K. De- registration :

I/we agree that unless otherwise mentioned my/our account will be active until I/we apply for de-registration to the stock broker. Awe agree that upon de-registration I/we will not be allowed to do any transaction with the stock broker. In case I/we wish to transact with the broker in future I/we will reapply to the stock broker for re-registration to reactivate the account.

Date: _____

Client Signature

 10/22

TARIFF STRUCTURE

Standard Brokerage Payable by Clients

SEGMENT	TYPE	RATE
Capital Market	Delivery	0.75%
Capital Market	Square Off	0.10%
Equity Futures		0.10%
Equity Options		0.10% of (Strike + Premium)
Currency Futures		0.0075 Per Unit
Currency Options	—	0.0075 Per Unit

NOTE All Statutory Charges like GST, STT, Stamp Duty, Exchange TOT, and SEBI Fees etc. is payable separately as per actual By the Client Over And Above Brokerage.

EAST INDIA SECURITIES LIMITED

Exchange	Segment	SEBI Regn. No.	Date of Regn.
National Stock Exchange	Capital Market	INZ000190836	19th October, 1995
National Stock Exchange	Derivatives	INZ000190836	03rd July, 2000
National Stock Exchange	Currency Derivatives	INZ000190836	25th August, 2008
Bombay Stock Exchange	Capital Market	INZ000190836	12th August, 2005
Bombay Stock Exchange	Derivatives	INZ000190836	23rd November, 2006
MSEI	Currency Derivatives	INZ000190836	03rd October, 2008
National Stock Exchange	Commodity Market	INZ000190836	27th September 2018
Bombay Stock Exchange	Commodity Market	INZ000190836	26th September 2018
MCX	Commodity Market	INZ000190836	26th September 2018

Head Office/Registered Office / Correspondence Address:

DA - 14, Sector - I, Salt Lake City Kolkata - 700 064
 Tel. : +91 33 4020 5901 / 2358 6026
 Fax : +91 33 2358 6631 / 4020 5909

Compliance Officer :

Name **Mr. Sumeet Kumar Kejriwal**
 Phone No. : +91 33 4020 5900
 E-mail : sumeetkoeisec.com

Chief Executive Officer :

Name : **Mr. Vivek Agarwal**
 Phone No. : +91 33 4020 5901 / 2358 6026
 E-mail : vivekoeisec.com

For any grievance / dispute please contact East India Securities Limited at the above address or Email Id : mail@eisec.com and Phone No. : +91 33 40205901/49. In case not satisfied with the response, please contact the concerned exchanges at :

Investor Grievance Cell

National Stock Exchange of India Ltd.
 Exchange Plaza, Plot No. C/1
 G-Block, Bandra Kurla Complex,
 Bandra (E), Mumbai 400 051
 Tel No. : +91 22 2659 8190
 Fax No. : +91 22 2659 8191
 Email ignseonse.co.in

Investor Services Cell

Bombay Stock Exchange
 'Horizon' Building
 2nd Floor, 57, J. L. Nehru Road,
 Kolkata 700 071
 Tel No. : +91 33 2282 1375/60/61
 Telefax No. : +91 33 2282 1376
 E-mail Id : isc.kolkataobseindia.com
 anirban.guha#bseindia.com

Investor Service Centre

Senior Manager
 MCX Stock Exchange Limited
 Exchange Square, Suren Road.
 Chakla, Andheri (E), Mumbai - 400 093
 Tel No. : +91 22 6731 8933/9000
 Fax No. : +91 22 6731 9004
 E-mail : investorcomplaintsomcx-sx.com

FATCA / CRS DECLARATION FOR INDIVIDUAL ACCOUNTS

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

1	Name of the Account Holder	
2	PAN	
3	Father's Name	
4	Country and Place of Birth	
5	Nationality	
6	Address for Tax Residence (include City, State, Country and PIN Code)	
7	Address Type (Tick whichever applicable)	(a) Residential <input type="checkbox"/> (b) Business <input type="checkbox"/> (c) Registered Office <input type="checkbox"/>
8	Do you satisfy any of the criteria mentioned below?	
	Citizen of any country other than India (dual / multiple) [including Greencard]	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Country of birth is any country other than India	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Tax resident of ANY country/ies other than India	Yes <input type="checkbox"/> No <input type="checkbox"/>
	POA or a mandate holder who has an address outside India	Yes <input type="checkbox"/> No <input type="checkbox"/>
	Address or telephone number outside India	Yes <input type="checkbox"/> No <input type="checkbox"/>

Please list below details, confirming ALL countries of tax residency/permanent residency/citizenship ALL Tax Identification Number **other than INDIA**

Country of Tax Residency	Tax Identification No.	Identification Type (TIN or Other, please specify)

In case Tax Identification Number is not available, kindly provide its functional equivalent

<p>Cetification</p> <p>I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also confirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.</p>	<p style="text-align: center;">Signature</p> <div style="border: 1px solid black; height: 30px; width: 100%; margin-bottom: 5px;"></div> <p>Date _____</p> <p>Place _____</p>
--	---

FATCA & CRS Terms & Conditions

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications are documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any changes in any information provided by you, please ensure you advise us promptly, i.e. within 30 days. It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

FATCA / CRS DECLARATION FOR NON-INDIVIDUAL ACCOUNTS

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

1	Name of the Account Holder						
2	PAN						
3	Country and City of Incorporation						
4	Networth in INR in Lakhs (as on Date _____ / _____ / _____)						
5	Address for Tax Residence (include City, State, Country and PIN Code)						
6	Address Type (Tick whichever applicable)		(a) Residential <input type="checkbox"/> (b) Business <input type="checkbox"/> (c) Registered Office <input type="checkbox"/>				
7	Is the entity involved in / providing any of these services :						
	Foreign Exchange / Money Changer Services	Yes <input type="checkbox"/> No <input type="checkbox"/>	Gaming / Gambling / Lottery Services (e.g. casinos, betting, syndicates)	Yes <input type="checkbox"/> No <input type="checkbox"/>	Money Laundering/ Paving	Yes <input type="checkbox"/> No <input type="checkbox"/>	Any Other Information (if Applicable)
8	Entity Constitution Type (Tick as Appropriate)						
	<input type="checkbox"/> Partnership Firm <input type="checkbox"/> HUF <input type="checkbox"/> Private Limited Company <input type="checkbox"/> Public Limited Company <input type="checkbox"/> Society <input type="checkbox"/> AOP/BOI <input type="checkbox"/> Trust <input type="checkbox"/> Liquidator <input type="checkbox"/> Limited Liability Partnership <input type="checkbox"/> Artificial Juridical Person <input type="checkbox"/> Other Specify _____						
9	Is the Entity a tax resident of any country other than India						Yes <input type="checkbox"/> No <input type="checkbox"/>

Please list below details, confirming ALL countries of tax residency/permanent residency/citizenship ALL Tax Identification Number **other than INDIA**

Country of Tax Residency	Tax Identification No.	Identification Type (TIN or Other, please specify)*

*In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification or Global Entity Identification Number.

In case of Entity's Country of Incorporation/Tax Residence is U.S. but entity is not a Specified U.S. Person, mention Entity's exemption code _____

PART A (to be filled by Financial Institutions or Direct Reporting NFEs)

1	We are a Financial Institution or Direct Reporting NFFE	GIIN <input type="text"/> Note :If you do not have GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below Name of sponsoring entity <input type="text"/>
GIIN not available (please tick as applicable) <input type="checkbox"/> Not required to apply for – please specify 2 digit sub-category <input type="text"/> <input type="text"/> <input type="checkbox"/> Not obtained – Non-participating FI		

PART B (please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)

1	Is the Entity a publicly traded company (that is a company whose shares are regularly traded on an established securities market)	<input type="checkbox"/> Yes <input type="checkbox"/> No (if yes, please specify any one stock exchange on which the stock is regularly traded) Name of Stock exchange <input type="text"/>
2	Is the Entity a related entity of a publicly trade company (a company whose shares are regularly traded on an established securities market)	<input type="checkbox"/> Yes <input type="checkbox"/> No (if yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company <input type="text"/> Nature of relation : <input type="checkbox"/> Subsidiary of the Listed Company <input type="checkbox"/> Controlled by a Listed Company Name of Stock exchange <input type="text"/>
3	Is the entity an active NFE	<input type="checkbox"/> Yes <input type="checkbox"/> No (if yes, please fill UBO declaration in the the next section) Nature of Business <input type="text"/> Please specify the sub-category of Active NFE <input type="text"/> <input type="text"/> (Mention code-refer 2 of Part D)
4	Is the entity an passive NFE	<input type="checkbox"/> Yes <input type="checkbox"/> No (if yes, please fill UBO declaration in the the next section) Nature of Business <input type="text"/>

Cetification

I/We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I/We also comfirm that I/We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.

Signature


Date
Place

FATCA & CRS Terms & Conditions

Details under FATCA & CRS : The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications are documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities/appointed agencies. Towards compliance, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any changes in any information provided by you, please ensure you advise us promptly, i.e. within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

PART D

FATCA Instructions & Definitions

1. Financial Institution (FI) - The term FI means any financial institution that is a Depository Institution, Custodial Institution, Investment Entity or Specified Insurance Company, as defined.

- Depository institution : is an entity that accepts deposits in the ordinary course of banking or similar business.
- Custodial institution is an entity that has a substantial portion of its business, holds financial assets for the account of others and where the entity's gross income attributable to holding financial assets and related financial services equals to or exceeds 20 percent of the entity's gross income during the shorter of –
 - (1) The three financial years preceding the year in which determination is made; or
 - (2) The period during which the entity has been in existence,
- Investment entity is any entity :
 - That primarily conducts a business or operates for or on behalf of a customer for any of the following 3 activities –
 - Trading in money market instruments, foreign exchange, foreign currency, etc.
 - Individual or collective portfolio management
 - Investing, administering or managing funds, money or financial asset on behalf of other persons;
 - or
 - The gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity described above.
- An entity is treated as primarily conducting as a business one or more of the 3 activities described above, or an entity's gross income is primarily attributable to investing, reinvesting, or trading in financial assets of the entity's gross income attributable to the relevant activities equals or exceeds 50 percent of the entity's gross income during the shorter of :
 - (i) the three-year period ending on 31 March of the year preceding the year in which the determination is made; or
 - (ii) the period during which the entity has been in existence.

The term "Investment Entity" does not include an entity that is an active non-financial entity as per codes 03, 04, 05 and 06 – refer point 2c.)

- Specified Insurance Company : Entity that is an insurance company (or the holding company of an insurance company) that issues, or is obligated to make payments with respect to, a Cash Value Insurance Contract or an Annuity Contract.

● FI not required to apply for GIIN :	
A. Reasons why FI not required to apply for GIIN :	
Code	Sub-category
01	Government Entity, International Organization or Central Bank
02	Treaty Qualified Retirement Fund; a Board Participation Retirement Fund; a Narrow Participation Retirement Fund; or a Pension Fund of a Government Entity, International Organization or Central Bank
03	Non-public fund of the armed forces, an employees' state insurance fund, a gratuity fund or a provident fund
04	Entity is an Indian FI solely because it is an investment entity
05	Qualified credit card issuer
06	Investment Advisors and Investment Managers
07	Exempt collective investment vehicle
08	Trustee of an Indian Trust
09	FI with a local client base
10	Non-registering local banks
11	FFI with only Low-Value Accounts
12	Sponsored investment entity and controlled foreign corporation
13	Sponsored, Closely Held Investment Vehicle
14	Owner Documented FFI

2. Non-financial entity (NFE) – Foreign entity that is not a financial institution

Types of NFEs that are regarded as excluded NFE are :

a. Publicly traded company (listed company)

A company is publicly traded if its stock are regularly traded on one or more *established securities markets* (*Established securities market means an exchange that is officially recognized and supervised by a governmental authority in which the securities market is located and that has a meaningful annual value of shares traded on the exchange*)

b. Related entity of a publicly traded company

The NFE is a related entity of an entity which is regularly traded on an established securities market;

c. Active NFE : (is any one of the following)

Code	Sub-category
01	Less than 50 percent of the NFE's gross income for the preceding financial year or other appropriate reporting period is <i>passive income</i> and less than 50 percent of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of <i>passive income</i> ;
02	The NFE is a Governmental Entity, an International Organization, a Central Bank, or an entity wholly owned by one or more of the foregoing;
03	Substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financial and services to, one or more subsidiaries that engage in trades or businesses other than business of a Financial Institution, except that an entity shall not qualify for NFE status if the entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interest in those companies as capital assets for investment purposes;
04	The NFE is not yet operating a business and has no prior operating history, but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the the NFE shall not qualify for this exception after the date that is 24 months after the date of the initial organization of the NFE.
05	The NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganizing with the intent to continue or recommence operations in a business other than that of a financial Institution;
06	The NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions, and does not provide financing or hedging services to any Entity that it not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial Institution;
07	Any NFE is a 'non for profit' organization which meets all of the following requirements : It is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organization, business league, chamber of commerce, labor organization, agricultural or horticultural organization, civic league or an organization operated exclusively for the promotion of social welfare; It is exempt from income tax in India; It has no shareholders or members who have a proprietary or beneficial interest in its income or assets; The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE's charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and The applicable laws of the NFE's jurisdiction of residence or the NFE's formation documents require that, upon the NFE's liquidation or dissolution, all of its assets be distributed to a governmental entity or other non-profit organization, or escheat to the government of the NFE's jurisdiction of residence or any political subdivision thereof.

3. Other Definitions

(i) Related entity

An entity is a related entity of another entity if either entity controls the other entity or the two entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote or value in an entity

(ii) Passive NFE

The term passive NFE means any NFE that is

- (a) not an Active NFE or publicly traded entity or a entity related to a publicly traded entity
- (b) the gross income of which is primarily attributable to investing, reinvesting, or trading in financial assets, if the entity is managed by another entity that is a depository institution, a custodial institution, a specified insurance company, or an investment entity
- (c) a withholding foreign partnership or withholding foreign trust as defined under the relevant U.S. Treasury Regulations.

(Note : Foreign persons having controlling interest in a passive NFE are liable to be reported for tax information compliance purposes)

(iii) Passive income

The term passive income means the portion of gross income that consists of –

- (a) Dividends, including substitute dividend amounts;
- (b) Interest
- (c) Income equivalent to interest, including substitute interest and amounts received from or with respect to a pool of insurance contracts if the amounts received depend in whole or part upon the performance of the pool;
- (d) Rents and royalties, other than rents and royalties derived in the active conduct of a trade or business conducted, at least in part, by employees of the NFE
- (e) Annuities
- (f) The excess of gains over losses from the sale or exchange of financial assets that gives rise to passive income
- (g) The excess of gains over losses from transactions (including futures, forwards, and similar transactions) in any financial assets,
- (h) The excess of foreign currency gains over foreign currency losses
- (i) Net income from swaps
- (j) Amount received under cash value insurance contracts

But not passive income will not include in case of a non-financial entity that acts as a dealer in financial assets, any income from any transaction entered into in the ordinary course of such dealer's business as a dealer.

(iv) Controlling persons

Controlling persons are natural persons who exercise control over an entity and includes a beneficial owner the PMLA Rules. In the case of a trust, such term means the settlor, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust. In the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

Pursuant to guidelines or identification of Beneficial Ownership issued vide SEBI circular no. CIR/MIRSD/2/2013 dated January 24, 2013, persons (other than Individuals) are required to provide details of Beneficial Owner(s) ('BO'). Accordingly, the Beneficial Owner means 'Natural Person', who, whether acting alone or together, or through one or more juridical person, exercises control through ownership or who ultimately has a controlling ownership interest of / entitlements to :

- i. More than 25% of shares or capital or profits of the juridical person, where the juridical person is a company;
- ii. More than 15% of the capital or profits of the juridical person, where the juridical person is a partnership;
- or
- iii. More than 15% of the property of capital or profits of the juridical person, where the juridical person is an unincorporated association or body of individuals.

Where the client is a trust, the financial institution shall identify the beneficial owners of the client and take reasonable measures to verify the identity of such persons, through the identity of settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain or control or ownership.

Where no natural person is identified the identity of the relevant natural person who holds the position of senior managing official.

(A) Controlling Person Type :

Code	Sub-category
01	CP of legal person—ownership
02	CP of legal person—other means
03	CP of legal person—senior managing official
04	CP of legal arrangement—trust-settlor
05	CP of legal arrangement—trust-trustee
06	CP of legal arrangement—trust-protector
07	CP of legal arrangement—trust-beneficiary
08	CP of legal arrangement—trust-other
09	CP of legal arrangement—Other-settlor equivalent
10	CP of legal arrangement—Other-trustee equivalent
11	CP of legal arrangement—Other-protector equivalent
12	CP of legal arrangement—Other-beneficiary equivalent
13	CP of legal arrangement—Other-other equivalent

(v) Specified U.S. person – A U. S. person other than the following :

- (a) a corporation the stock of which is regularly traded on one or more established securities markets;
- (b) any corporation that is a member of the same expanded affiliated group, as defined in section 1471(e)(2) of the U.S. Internal Revenue Code, as a corporation described in clause (i);
- (c) the United States or any wholly owned agency or instrumentality thereof;
- (d) any State of the United States, any U.S. Territory, any political subdivision of any of the foregoing, or any wholly owned agency or instrumentality of any one or more of the foregoing;
- (e) any organization exempt from taxation under section 501(a) of the U.S. Internal Revenue Code or an individual retirement plan as defined in section 7701(a)(37) of the U.S. Internal Revenue Code;
- (f) any bank as defined in section 581 of the U.S. Internal Revenue Code;
- (g) any real estate investment trust as defined in section 856 of the U.S. Internal Revenue Code;
- (h) any regulated investment company as defined in section 851 of the U.S. Internal Revenue Code or any entity registered with the U.S. Securities and Exchange Commission under the Investment Company Act of 1940 (15 U.S.C. 80a-64);
- (i) any common trust fund as defined in section 584(a) of the U.S. Internal Revenue Code;
- (j) any trust that is exempt from tax under section 664(c) of the U.S. Internal Revenue Code or that is described in section 4947(a)(1) of the U.S. Internal Revenue Code;
- (k) a dealer in securities, commodities, or derivative financial instruments (including national principal contracts, future, forwards, and options) that is registered as such under the laws of the United States or any State;
- (l) a broker as defined in section 6045(c) of the U.S. Internal Revenue Code; or
- (m) any tax-exempt trust under a plan that is described in section 403(b) or section 457(g) of the U.S. Internal Revenue Code.

(vi) Owner documented FFI

An FFI meets the following requirements :

- (a) The FFI is an FFI solely because it is an investment entity;
- (b) The FFI is not owned by or related to any FFI that is a depository institution, custodial institution, or specified insurance company;
- (c) The FFI does not maintain a financial account for any non participating FFI;
- (d) The FFI provides the designated withholding agent with all of the documentation and agrees to notify the withholding agent if there is a change in circumstances; and
- (e) The designated withholding agent agrees to report to the IRS (or, in the case of a reporting Model 1 IGA, to the relevant foreign government or agency thereof) all of the information described in or (as appropriate) with respect to any specified U.S. persons and (2). Notwithstanding the previous sentence, the designated withholding agent is not required to report information with respect to an indirect owner of the FFI that holds its interest through a participating FFI, a deemed-compliant FFI (other than an owner-documented FFI), an entity that is a U.S. person, an exempt beneficial owner, or an excepted NFFE.

(vii) Direct reporting NFE

A direct reporting NFFE means a NFFE that elects to report information about its direct or indirect substantial U.S. owners to the IRS.


MANDATORY

SMS and E-mail alerts to investors by stock exchanges




Dear Sir/Madam,

As per recent circular of SEBI and Stock exchanges, stock exchanges will send trade and other details directly to the investors on the mobile phone / email id registered with the stock broker.

Please confirm (tick along with the signature) if SMS/Email Alerts required : Yes No

Client's signature  14
22 _____

If Yes, we request you to convey your option to receive the trade and other details from stock exchanges by signing the relevant option given below :

Sl. No.	Options	Please update relevant details else put "-" in the column		Signature against the facility required
		Mobile No.	E-mail	
1	Only SMS			 15 22
2	Only E-mail			 15 22
3	Both (E-mail/SMS)			 15 22

Thanking You.

 16
22

(Signature of the Client)

NON MANDATORY

NON MANDATORY TERMS & CONDITIONS

The Client and member, in addition to the member-client agreement, also agree to the terms and conditions stated in hereinbelow.

A. CLIENTS ADDITIONAL REPRESENTATIONS AND WARRANTIES :

The Client has represented to the member that:

1. Member has disclosed to the client that member regularly trade in proprietary capacity in capital market and derivative segments.
2. The Client confirms that all the trades and dealings, which will be done by the client, will be on client's own account and not on behalf of any other entity. The Client will not be doing any sub-broker activity.
3. The information supplied in the KYC account application is truthful and accurate and not misleading (whether by reason of an omission to state a particular fact or otherwise at the time of completing the Account opening).
4. Member can maintain client's details as mentioned in the client registration form or any other information pertaining to client in confidence and not disclose the same to any other person/entity except as required under the law.
5. The Client shall notify the Member within seven days, of any change in the details set out in the Application form submitted to the Member at the time of opening the account or furnished to the Member from time to time.
6. The Client shall, at all times, be responsible for his investment decision and /or orders placed, or applications preferred by the Client, either electronically or otherwise. Client shall not hold, nor seek to hold the Member and or any of their officers, directors, employees, agents, subsidiaries or affiliates, liable for any loss including but not limited to trading losses incurred by the Client. The Client understands that placing an order with the Member either electronically or otherwise, does not guarantee execution of the said order or acceptance of an application until the Member has confirmed the receipt of such an order or application.
7. Since sending orders (for purchase and sale of securities) in writing to member will cause lot of delay, Client requests the member to accept verbal orders/instructions given by the client or clients representative and these verbal orders shall be deemed to have been given in writing and shall be subject to all such terms and conditions as applicable to written contract.
8. The Client agrees that none of the services available on the website or other literature shall amount to investment advise on the part of the stock broker.
9. The Client agrees that the stock broker shall not be required to provide the client with any form of legal/ accounting or tax related advise.
10. The client agrees that as per rules and regulations the Member will send to the client quarterly statement of funds and securities at the end of each quarter. The Client confirms that upon receipt of such statements the client will immediately verify the transactions, ledger balance, margin details and other information and discrepancies if any found in the said statement will be brought to the notice of the stock broker within seven days of receipt of such statement. The Client further confirms that the client will not be eligible for any claim if the client doesn't inform the stock broker about such discrepancies within thirty days of receipt of statement of funds and securities.

B. DP CHARGES :

It is agreed by the client that the client having demat account with East India Securities Ltd authorizes East India Securities Ltd to adjust any debit balance in the demat account with the credit balance in the trading account.

C. LIEN :

1. All Securities and/or other property in any Account in which the Client has an interest or which at any time are in the possession or under the control of the Member, shall be subject to a lien for the discharge of any and all indebtedness or any other obligation that the Client may have to the Member in any segment/exchange.
2. All of the Client Securities and /or other property shall be held by the Member as security for the payment of any such obligation or indebtedness to the Member in any Account in which the Client has an interest

3. In enforcing its lien, the Member at its sole discretion may determine which Securities and/ or other property are to be sold or which contracts are to be closed.
4. The client warrants that all securities/collateral deposited by the client as margin or sold through the stock broker are owned by the client (and have not been taken from somebody else) and that the title thereof is clear and free of encumbrances .

D. TAPE RECORDING OF CONVERSATIONS :

The Client is aware that the Member may tape-record the conversations between the Client or its representative and the Member, either personally or over the telephone, and the Client hereby specifically permits the Member to do so. The Member may rely upon such recordings as and when required to resolve disputes in connection with the trading transactions.

E. INDEMNIFICATION :

1. If the client fails to notify the Member on the conditions stated in clauses in this agreement the client shall indemnify and hold the Member harmless from and against any and all claims, losses, liability, costs, expenses arising from such failure.
2. The Client agrees to fully indemnify the Member for any losses arising from execution of incorrect/ambiguous/ fraudulent instructions provided by the client and/or his authorized representative.
3. The Client acknowledges that he is fully aware of the risks involved in online trading activities, including the risks involved due to unauthorized access or any technical difficulties. Clients specifically agrees to hold the Member harmless from any and all claims, and agrees that the Member shall not be liable for any loss actual or perceived, caused directly by government restriction : exchange or market regulation, suspension of trading, war, strike, equipment failure, communication line failure, system failure, security failure on the internet, unauthorized access, theft, or any problem, technological or otherwise Or other conditions beyond the control of the Member that might prevent the client from entering an order or the Member, from executing an order. Client further agrees that he will not be compensated by the Member for "lost opportunity" via notional profit on buy/sell orders which could not be executed. Further more, in a technical environment should an error occur with respect with the tracking of an any account holding or order entry , the true, actual and correct transaction or position will be restored. It is client's responsibility to ensure account correctness and accuracy and to contract the Member, immediately with respect of any discrepancies.

F. FORCE MAJEURE :

The Member shall not be responsible for any losses, costs, of damages resulting directly or indirectly from:-


1. Any action, omission, suspension or trading, decision or ruling of any exchange or regulatory, governmental or other body or of any other person which is beyond the Member's control (including floor broker, exchange, dealing or clearing house) : or
2. Any war, strike, lock-out, natural disaster, act of terrorism, delay in postal service any other delay or in inaccuracy in the transmission of orders or other information , or any breakdown, failure or malfunction which is beyond the control of the Member of any telecommunication or computer system.
3. The above Force Majeure events do not exempt the Client to fulfill the obligations in his account with the Member.

G. SEVERANCE :

In case anyone or more of the provisions contained in this Agreement becomes void, invalid, illegal or unenforceable in any respect under any law, rule, administrative order or judicial decision, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereto.

Date _____

Client Signature



NON MANDATORY


RUNNING ACCOUNT AUTHORIZATION FOR FUNDS & SECURITIES

To
East India Securities Ltd.
DA-14, Salt Lake City, Sector-1
Kolkata-700064

Date _____

I/we authorize you to maintain a running account subject to following terms and conditions:-

1. With regards to my/our settlement wise pay outs of Funds & Securities, you may retain credits if any as margins on my/our outstanding purchases/sales positions in any segment of any exchange and/or for adjustment with my/our pay-ins, if any, for subsequent settlement.
2. I/we authorise you to retain credits of funds & securities, if I/we have any obligation of any nature pending towards you. However, if I/we have no obligations of any nature pending towards you, on a request in writing from me/us, you would be required to immediately release in my/our favour credit if any lying in my/our name.
3. I/we understand that in case of futures and options segment there is a daily mark to market valuation and pay-in/payout of options premium/margin due to which there might be debit / credit in my/our F&O running account with you on a particular date. However, since it is not practicable for me/us to issue to you or to receive cheques from you on a daily basis, I/we hereby authorize you to with-hold a credit balance in my/our account to be adjusted against subsequent debits.,if any, as on any day unless otherwise requested by me/us to be issued a cheque of the amount of credit.
4. Please do not issue any cheque for my/our credits suo moto as I/we trade regularly and frequent exchange of cheques will be practically difficult for me/us. However, whenever I/we need a cheque against my/our credits, you will be bound to issue the cheque within one working day of my/our request to do so.
5. I/we also maintain that in case of a debit in my/our running account, I/we shall issue to you a cheque to the tune of the debit amount immediately and hereby for go any intimation thereto.
6. I/we also authorize you to adjust excess margin paid by me/us with debits in my/our running account and adjust credit in my/our account with shortfall in margin.
7. I/we also authorize you to adjust debits in my/our account in any segment of any exchange with credits, if any, in my/our account in any segment of any exchange without taking any further instructions from me/us.
8. I/we further agree to settle funds and securities at least once in a calendar quarter/ month.
9. I/we further agree that in case of debit balance I/we will clear the balance at the end of each such period as agreed in point no-8 by paying cheque and/or squaring off my positions in all segment/exchange failing which the stock broker has rights to do so and I/we will be responsible for financial loss if any due to sq off the positions.
The broker will issue a statement of funds and securities to me/us at the end of each such period. I/we agree to bring dispute if any to the notice of the stock broker within thirty days of receipt of such statement from the stock broker failing which the statement will be presumed to be correct.
10. I/we understand that the running account authorization given to stock broker can be revoked by me/us at any point of time.
11. The above authorization given to stock broker by the within named client this _____ day of _____ 20 _____

Name of The Client	
Signature of the Client (With stamp where ever necessary)	

NON MANDATORY

E-NET VIEW REQUEST FORM

To
East India Securities Ltd.
DA-14, Salt Lake City, Sector-1
Kolkata-700064


Date _____

Dear Sir,

I/we wish to avail facility to view my/our trading account related transaction details on your backoffice website. I/we request you to provide us necessary login facility on following terms and conditions: -

1. I/we will ensure secrecy of login name and password.
2. In case I/we don't receive login details, I/we will inform you immediately.
3. I/we will immediately inform you in case of change of Email address
4. I/we will change password on regular basis.
5. You will not be responsible for unauthorized access to my/our accounts.
6. In case of loss of password I/we will give written request to you to issue me/us new password.
7. Since you are providing all kind of financial statements and securities ledger no hard copy is necessary to be delivered to us. In case I/we need any statement in hard copy we will give written request to you. Display of transaction details and various statements on your website will be equal to delivery of physical statement by you.
8. I/we will be checking our transaction details on daily basis at the given website. I/we further confirm that if any discrepancy is found in transaction shown in our account it will be my/our responsibility to bring it to your notice immediately. I/we further agree that no claim will be entertained if dispute is not raised within 24 hours of transaction by me/us.
9. I/we further confirm that it will be my/our responsibility to check my/our trading account details on regular basis. I/we will be responsible for any consequential losses for not checking my/our accounting details.

Please provide my/our login ID and password at my/our email address mentioned below:-

Name of Client	
Address	
Email Address (be very clear)	
Client Signature	

[Note - Your login ID and password will be sent by email to above mentioned email ID]

SELF DECLARATION – SPECIAL CATEGORY CLIENTS AS REQUIRED BY PMLA

To
East India Securities Limited
DA-14, Salt Lake City, Sector-1
Kolkata-700064

Date _____

I/We hereby declare that we fall under one of following special category of client :

Special Categories	Please tick of applicable
i) Non Resident Clients	<input type="checkbox"/>
ii) High Net Worth Clients	<input type="checkbox"/>
iii) Trust, Charities, NGO and Organization Receiving Donations	<input type="checkbox"/>
iv) Companies Having Close Family Share Holdings or Beneficial Ownership	<input type="checkbox"/>
v) Politically Exposed Person or Relative of Politically Exposed Person	<input type="checkbox"/>
vi) Foreign Exchange Offering Entitles	<input type="checkbox"/>
vii) Client from High Risk Countries	<input type="checkbox"/>
viii) Non Face to Face Clients	<input type="checkbox"/>
ix) Client with Dubious Reputation	<input type="checkbox"/>
x) Any other please mention	<input type="checkbox"/>
xi) None of Above	<input type="checkbox"/>

Client Signature



Date _____

INSTRUCTION/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 authorised 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 authorised for attesting the documents, as per the below mentioned list.
3. If any proof of identify 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. Passport/Voters Identity Card/Ration Card/Unique Identification Number (UID)/Aadhar Letter/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. of Statutory Authority.
6. Identity card/documents 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 Fil/sub account, Power of Attorney given by Fil/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 Corporation, 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 authorised 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, authorised 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. List of documents to be obtained from client are mentioned below :

Types of entity	Documentary requirements
Corporate	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> 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). <input type="checkbox"/> Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <input type="checkbox"/> Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly. <input type="checkbox"/> Copies of the Memorandum and Articles of Association and certificate of incorporation. <input type="checkbox"/> Copy of the Board Resolution for investment in securities market. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Proof of Demat Account. <input type="checkbox"/> Proof of Bank Account.
Partnership firm	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered partnership firms only). <input type="checkbox"/> Copy of partnership deed. <input type="checkbox"/> Authorised signatories list with specimen signatures. <input type="checkbox"/> Photograph, POI, POA, PAN of Partners. <input type="checkbox"/> Proof of Demat Account. <input type="checkbox"/> Proof of Bank Account.
Trust	<input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> Certificate of registration (for registered trust only). <input type="checkbox"/> Copy of Trust deed. <input type="checkbox"/> List of trustee certified by managing trustees/CA. <input type="checkbox"/> Photograph, POI, POA, PAN of Trustees. <input type="checkbox"/> Proof of Demat Account. <input type="checkbox"/> Proof of Bank Account.
HUF	<input type="checkbox"/> Pan of HUF. <input type="checkbox"/> Deed of declaration of HUF/List of coparceners. <input type="checkbox"/> Bank pass-book/bank statement in the name of HUF. <input type="checkbox"/> Photograph, POI, POA, PAN of Karta. <input type="checkbox"/> Proof of Demat Account.

Types of entity	Documentary requirements
Unincorporated association or a body of individuals	<input type="checkbox"/> Proof of Existence/Constitution document. <input type="checkbox"/> Resolution of the managing body & Power of Attorney granted to transact business on its behalf. <input type="checkbox"/> Proof of Demat Account. <input type="checkbox"/> Proof of Bank Account.
Banks/ Institutional Investors	<input type="checkbox"/> Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	<input type="checkbox"/> Copy of SEBI registration certificate. <input type="checkbox"/> Authorised signatories list with specimen signatures.
Army/ Government Bodies	<input type="checkbox"/> Self-certification on letterhead. <input type="checkbox"/> Authorised signatories list with specimen signatures
Registered Society	<input type="checkbox"/> Copy of Registration Certificate under Societies Registration Act. <input type="checkbox"/> List of Managing Committee members. <input type="checkbox"/> Committee resolution for persons authorised to act as authorised signatories with specimen signatures. <input type="checkbox"/> True copy of Society Rules and Bye Laws certified by the Chairman/Secretary. <input type="checkbox"/> Proof of Demat Account in name of entity. <input type="checkbox"/> Proof of Bank Account in name of entity.
Individuals	<input type="checkbox"/> Photograph, POI, POA, PAN of Individuals. <input type="checkbox"/> Proof of Demat Account. <input type="checkbox"/> Proof of Bank Account.

Note : 1

Proof of Bank Account (Any one of the following documents)

Copy of cancelled cheque leaf/pass book/bank statement specifying name of the constituent (not more than 3 months old)

Proof of MICR Code or/and IFSC Code of the bank should be submitted.

Note : 2

Proof of Demat Account :

Any one of the following documents containing Client ID, Client Name, DP ID and DP Name.

- i) Demat client Master List with DP stamp or logo (not more than 4 months old)
- ii) Demat Holding Statement which (not more than 4 months old)

Additional Documents in case trading in Derivatives for all clients (any one from below)

- Copy of latest Income Tax Return Acknowledgement/Copy of Form 16(i)(n) case of salary income/latest salary slip/Net worth certificate duly certified by Chartered Accountant/Self declaration of Net worth (Asset-Liabilities) with supporting document of each item/Latest Copy of demat account holding statement/Copy of Annual Accounts/Copy of demat account holding statement/Bank account statement for last 6 months.