

# ZEN SECURITIES LTD.



Member NSE (CM, F&O & CD), BSE (CM and F&O), MCX-SX(CDS)  
 NSE: CM SEBI Regn. No. INB230684937; F & O SEBI Regn. No. INF230684937;  
 CD SEBI Regn. No. INE230684937 ; BSE : CM SEBI Regn. No. INB010684935 ;  
 F&O SEBI Regn. No. INF010684935 MCX-SX : CD SEBI Regn. No. INE260684937  
 ARN-No.0507/19-12-2007 for registration with AMFI for MFSS & BSE Star MF  
 Clearing Member for NSE & MCX-SX (CDS Segment) And for BSE F&O : IL&FS Securities  
 Services Ltd. with SEBI Regn No's. INE231308334 (NSE CD); INE261313337(MCX-SX)  
 Regd Off: Plot No.14, Raheja Vihar, Chandivili, Andheri (East), Mumbai - 400 072.

Regd. Off : 6-3-788/32, 3rd Floor, Vamsee Estates, Ameerpet, Hyderabad - 500 016.  
 Admn. Off : GEV Tulasi, 3rd Floor, Plot No. 151,152 & 153,Pragathinagar,  
 Opp. JNTU, Quthbullapur, R.R.(Dist), Hyd-90. Ph: 040-44232222, Fax: 040-44232254

URL : <http://www.zenmoney.com>

URL : <https://trade.zenmoney.com>

## ACCOUNT OPENING KIT INDEX

| MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES |  |  |                                     |
|---|--|--|-------------------------------------|
| S.No  | Document Name  | Brief significance of the document   | Page No                             |
| 1.  | Account Opening Form   | A. KYC form - Document captures the basic information about the constituent and an instruction/check list.   | 1-5                                 |
|   |  | B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.   | 6-8                                 |
|   |  | C. <b>Additional details:-</b> Documents pertaining to CDSL-DP, DP Agreement, DP Tariff, etc.  | 9-15                                |
| 2.  | Rights & Obligations   | Rights and Obligations Document stating the 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).  | copy given to the client separately |
| 3.  | Risk Disclosure Document (RDD)   | Document detailing risks associated with dealing in the securities market.   | -do-                                |
| 4.  | Guidance note  | Document detailing do's and don'ts for trading on exchange, for the education of the investors.  | -do-                                |
| 5.  | Policies and Procedures  | Document describing significant policies and procedures of ZSL.  | 16                                  |
| 6.  | Tariff sheet   | Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).   | 17                                  |
| VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER   |  |  |                                     |
| 7.  | Letter of undertaking  | Various undertakings by client for smooth and uninterrupted trading and settlement like exposures, margins, squaring up of positions, lien, ZSL policy for 'inactive' clients, Business policy of ZSL for trading in FAO/CDS segments (NSE/BSE/MCX-Sx), Authorization to debit DP charges, Disclosure of Proprietary trading by ZSL, PMLA declaration, Mobile Declaration, etc., | 19-23                               |
| 8.  | Running Account Authorization  | Running Account Authorization for smooth and uninterrupted settlement of funds and securities, etc.  | 24                                  |
| 9.  | Authorization to place orders by AUTHORISED PERSON verbally and in person/to collect contract notes, Cheques etc.  | Due to inability of the client to do trading on his/her own, appointing Authorized Person for placing orders, modifying, cancelling verbally /in person; over phone and to collect Contract Notes, Cheques etc from ZSL by Authorised Person.  | 25                                  |
| 10.   | Request for e-statement  | Request for e-statements for DP transactions   | 25                                  |
| 11.   | Limited Power of Attorney  | POA by client for various services required by him/her without his/her presence like settlement of funds and securities, IPOs, MF, ETF's, etc  | 26-27                               |
| 12.   | FEMA Declaration   | FEMA Declaration for NRI Clients   | 28                                  |
| 13.   | HUF Declaration  | HUF Declaration details  | 28                                  |
| 14.   | Mutual Fund Trading Facility   | NSE MFSS & BSE Star MF Registration  | 29                                  |
| 15.   | Acknowledgement  | Acknowledgement of document copies by client.  | 30                                  |
| 16.   | Client Profile   | Client Profile   | 30                                  |
| 17.   | KYC for Mutual Fund  | KYC for Mutual Fund Segment (Perforated Sheet)   | 31-32                               |
| CEO Details   | <b>K. Venkat Reddy</b> -Director & CEO - Ph: 040-44232222, E-mail : <a href="mailto:kvr@zenmoney.com">kvr@zenmoney.com</a> ,   |  |                                     |
| Compliance Officer Details                            | (For NSE & MCX-SX) <b>R. Namashivaya</b> - Director (For BSE, NSDL & CDSL) <b>Anasuya Sahu</b> - DGM<br>Ph: 040-39112222, E-mail: <a href="mailto:nms@zenmoney.com">nms@zenmoney.com</a> Ph: 040-44232222, E-mail: <a href="mailto:anasuya@zenmoney.com">anasuya@zenmoney.com</a>  |  |                                     |
| For Grievance/Dispute (1st Level)                     | Please contact Zen Securities Ltd. at the above address or Investor grievance cell mail id <a href="mailto:grievance@zenmoney.com">grievance@zenmoney.com</a> / Ph: 040-44232386   |  |                                     |
| Incase not satisfied with the response (2nd Level)    | Please contact NSE on Ph No.: 022-26598190/ E-mail : <a href="mailto:ignse@nse.co.in">ignse@nse.co.in</a><br>BSE Ph No.: 022-22728097 E-mail: <a href="mailto:is@bseindia.com">is@bseindia.com</a><br>MCX-SX Ph No.: +91 22 6731 9000 E-mail: <a href="mailto:investorcomplaints@mcx-sx.com">investorcomplaints@mcx-sx.com</a> |  |                                     |

Please note to read "ZSL" as Zen Securities Ltd. where ever it appears.

**INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM (For Trading & Demat A/c)****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 list provided under point no. E (acceptable for Trading Account only)
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: (provide any one) for Individuals**

1. 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.

**Accepted for Trading Account only**

4. Unique Identification Number (UID) (Aadhaar)

**C. Proof of Address (POA) : - List of documents admissible as POA (provide any one)****for Individuals**

(Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License.
2. Utility bills like Telephone Bill (only land line), Electricity 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. 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.
6. 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.

**Accepted for Trading Account only**

7. 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.
8. The proof of address in the name of the spouse may be accepted.
9. Gas bill/ Flat Maintenance bill/ Insurance Copy.

**Additional documents required For NRI's (All are compulsory)**

1. Proof of Identity (copy of passport/driving license).
- 2) Proof of foreign address and Indian address (if any) In case of foreign address, the address containing Post Office Box Number (P.O. Box No.) may be accepted as Permanent and/or Correspondence address. In such cases, additionally the DPs shall obtain the complete residential address of the NRI BO, under declaration at the time of opening of the account. Such BO shall give an undertaking that whenever there is a change in the residential address, the BO shall inform the DP.
- 3) Bank account details.
- 4) PAN card.
- 5) A declaration duly signed by the NRI that he/she has complied with, and will continue to comply with, FEMA regulations and other applicable laws (Please see the format in this booklet).

**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  | Non-Individuals |
|--|---|-----------------|
| <b>Corporate</b>   | <ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● 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).</li> <li>● Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>● Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.</li> <li>● Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>● Authorised signatories list with specimen signatures.</li> <li>● Certified true copy of Board Resolution, duly certified by Managing Director / Company Secretary, authorizing opening of for investment in securities market and demat account by specifying the names of persons authorized by the Board to operate the said accounts. The resolution must specify the manner of operation of the accounts and authority given to the authorised signatories to open and operate the accounts.</li> <li>● Names of the authorized signatory(ies), designation, photograph and their signature duly verified by Managing Director / Company Secretary and copy of PAN &amp; address proof</li> </ul> |                 |
| <b>Partnership firm</b>                                      | <ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered partnership firms only).</li> <li>● Copy of partnership deed.</li> <li>● Photograph, POI, POA, PAN of Partners.</li> <li>● Declaration, on the letterhead of the Firm clearly stating that the within named persons, who are partners of the Firm, have been nominated as authorized signatories to open and operate the said demat account on behalf of the Firm &amp; the declaration shall specify the manner in which the account will be operated, that is jointly or severally and shall give details of the names, addresses along with their specimen signatures and photographs.</li> </ul>  |                 |
| <b>Trust</b>   | <ul style="list-style-type: none"> <li>● Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>● Certificate of registration (for registered trust only). Under societies Registration Act/ Public Trust Act, 1860/ Bombay Public Trust Act, 1950/ Public Trust Act, of relevent state.</li> <li>● Copy of Trust deed.                      ● List of trustees certified by managing trustees/CA.</li> <li>● Board Resolution to open the Trading Account and / or demat account and specifying the persons authorized by the board to act as Authorized signatory(ies) to operate Trading Account And / or the demat account.</li> <li>● Name of the authorize signatories, designation, and their specimen signatures duly verified by the managing Trustee.</li> <li>● Photograph, POI, POA, PAN of Trustees.</li> </ul>  |                 |
| <b>HUF</b>   | <ul style="list-style-type: none"> <li>● Deed of declaration of HUF/ List of coparceners.                      ● PAN of HUF.</li> <li>● Bank pass-book/bank statement in the name of HUF.                      ● Photograph, POI, POA, PAN of Karta.</li> </ul>   |                 |
| <b>Registered Society</b>                                    | <ul style="list-style-type: none"> <li>● Copy of Registration Certificate under Societies Registration Act, 1860.</li> <li>● List of Managing Committee members.                      ● PAN card of registered society</li> <li>● Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>● True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> <li>● Names of Authorized Signatories, Designation, Photographs, and their Specimen Signatures.</li> </ul>  |                 |
| ✳ <b>Unincorporated association or a body of Individuals</b> | <ul style="list-style-type: none"> <li>● Proof of Existence/Constitution document.</li> <li>● Resolution of the managing body &amp; PoA granted to transact business on its behalf.</li> <li>● Authorized signatories list with specimen signatures.</li> </ul>   |                 |
| ✳ <b>Banks/Institutional Investors</b>                       | <ul style="list-style-type: none"> <li>● Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>● Authorized signatories list with specimen signatures.</li> </ul>   |                 |
| ✳ <b>Foreign Institutional Investors (FII)</b>               | <ul style="list-style-type: none"> <li>● Copy of SEBI registration certificate.</li> <li>● Authorized signatories list with specimen signatures.</li> </ul>   |                 |
| ✳ <b>Army/ Government Bodies</b>                             | <ul style="list-style-type: none"> <li>● Self-certification on letterhead.</li> <li>● Authorized signatories list with specimen signatures.</li> </ul>  |                 |

✳ For documents required to open trading & demat A/c under these category/s, please contact Compliance dept. of ZSL

Please fill this form in ENGLISH and in BLOCK LETTERS (strike off whichever is not applicable)

### A. IDENTITY DETAILS

1. Name of the Applicant

2. Father's/ Spouse Name

3. a. Gender :  Male  Female  
 b. Marital status:  Single  Married C. Date of birth:

4. a. Nationality   
 b. Status:  Resident Individual  Non Resident  Foreign National

5. a. PAN   
 b. Unique Identification Number (UID)/Aadhaar, if any

6. Specify the proof of Identity submitted

Affix your recent passport size Colour photograph and sign across it.

sign across the Photo 

### B. ADDRESS DETAILS

1. Address for correspondence   
 City/town/village  Pin Code   
 State  Country

2. Contact Details  
 Tel.(off.)  S T D   
 Tel.(Res.)   
 Mobile No  Fax   
 Email id

3. Specify the proof of address submitted for correspondence address

4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)  
 City/town/village  Pin Code   
 State  Country

5. Specify the proof of address submitted for permanent address

### C. OTHER DETAILS

1. Gross Annual Income Details(please specify) Income Range per annum (In Rupees)  
 Below 1 Lac  1-5 Lac  5-10 Lac  10-25 Lac  > 25 Lacs or Net-worth as on  Rs.  (Net worth should not be older than 1 year)


2. Occupation (please tick any one and give brief details)  
 Private Sector  Public Sector  Government Service  Business  Professional  
 Agriculturist  Retired  Housewife  Student  Others

3. Please tick, if applicable  
 Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

4. Any other information

### 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.

  
 Signature of the Applicant (Client) Date

### FOR OFFICE USE ONLY

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

Signature of the Authorised Signatory(ZSL) Seal/Stamp of Zen Securities Ltd.  
 Date

Please fill this form in ENGLISH and in BLOCK LETTERS.

### A. IDENTITY DETAILS

- Name of the Applicant
- Date of incorporation  Place of incorporation
- Date of commencement of business
- a. PAN
- b. Registration No. (e.g. CIN)
- 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"/> Partnership                                  | <input type="checkbox"/> Trust           | <input type="checkbox"/> Charities             |
| <input type="checkbox"/> HUF  | <input type="checkbox"/> AOP             | <input type="checkbox"/> Bank                  |
| <input type="checkbox"/> Non-Government Organization                  | <input type="checkbox"/> Government Body | <input type="checkbox"/> Defense Establishment |
| <input type="checkbox"/> BOI  | <input type="checkbox"/> Society         | <input type="checkbox"/> LLP                   |
| <input type="checkbox"/> Others (please specify) <input type="text"/> |  |  |

Affix your recent  
passport size  
Colour photograph  
and  
sign across it.

sign across the Photo



### B. ADDRESS DETAILS

- Address for correspondence   
 City/town/village  Pin Code   
 State  Country
- Contact Details  
 Tel.(Off.)   
 Tel.(Res.)   
 Mobile No  Fax   
 Email id
- Specify the proof of address submitted for correspondence address
- Registered Address (if different from above)   
 City/town/village  Pin Code   
 State  Country
- Specify the proof of address submitted for registered address

### C. OTHER DETAILS

- Gross Annual Income Details (please specify) Income Range per annum (In Rupees)
 

|                                      |                                  |                                   |                                    |  |                                  |
|--------------------------------------|----------------------------------|-----------------------------------|------------------------------------|--|----------------------------------|
| <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 Lacs-1 crore | <input type="checkbox"/> 1 crore |
|--------------------------------------|----------------------------------|-----------------------------------|------------------------------------|--|----------------------------------|
- Net-worth as on (Date)  Rs.  (\*Networth should not be older than 1year)
- Name, PAN, residential address and photographs of Promoters/Partners/Karta/Trustees and whole time directors: (Please give the details in a separate sheet)
- DIN/UID of Promoters/Partners/Karta and whole time directors: (Please give the details in a separate sheet)
- Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:
 

|   |  |
|---|--|
| <input type="checkbox"/> Politically Exposed Person (PEP) | <input type="checkbox"/> Related to a Politically Exposed Person (PEP) |
|---|--|
- Any other information

### 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.

X



Name & Signature of the Authorised Signatory

Date

### FOR OFFICE USE ONLY

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

X

Signature of the Authorised Signatory(ZSL)

Seal/Stamp of Zen Securities Ltd.

Date

## TRADING ACCOUNT RELATED DETAILS

For Individuals & Non-individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

### A. BANK ACCOUNT(S) DETAILS

|                |  |          |                      |
|----------------|--|----------|----------------------|
| Bank Name(1)   | <input type="text"/>   |          |                      |
| Branch Address | <input type="text"/>   |          |                      |
| Bank A/c No.   | <input type="text"/>   | MICR No. | <input type="text"/> |
| Account Type   | <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO                                      |          |                      |
| IFSC Code:     | <input type="text"/>   |          |                      |
| Bank Name(2)   | <input type="text"/>   |          |                      |
| Branch Address | <input type="text"/>   |          |                      |
| Bank A/c No.   | <input type="text"/>   | MICR No. | <input type="text"/> |
| Account Type   | <input type="checkbox"/> SB <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO      IFSC Code: <input type="text"/> |          |                      |

### B. DEPOSITORY ACCOUNT(S) DETAILS

|                                |                      |                        |                      |
|--------------------------------|----------------------|------------------------|----------------------|
| Depository Participant Name(1) | <input type="text"/> |                        |                      |
| Depository Name (NSDL/CDSL)    | <input type="text"/> |                        |                      |
| Beneficiary Name               | <input type="text"/> |                        |                      |
| DP ID                          | <input type="text"/> | Beneficiary ID (BO ID) | <input type="text"/> |
| Depository Participant Name(2) | <input type="text"/> |                        |                      |
| Depository Name (NSDL/CDSL)    | <input type="text"/> |                        |                      |
| Beneficiary Name               | <input type="text"/> |                        |                      |
| DP ID                          | <input type="text"/> | Beneficiary ID (BO ID) | <input type="text"/> |

### C. TRADING PREFERENCES \*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

| Exchanges | Segments | Signatures                          |                      |
|-----------|----------|-------------------------------------|----------------------|
| NSE       | CM       | <input checked="" type="checkbox"/> | <input type="text"/> |
|           | F&O      | <input checked="" type="checkbox"/> | <input type="text"/> |
|           | CDS      | <input checked="" type="checkbox"/> | <input type="text"/> |
| BSE       | CM       | <input checked="" type="checkbox"/> | <input type="text"/> |
|           | F&O      | <input checked="" type="checkbox"/> | <input type="text"/> |
| MCX-SX    | CDS      | <input checked="" type="checkbox"/> | <input type="text"/> |

# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

### D. PAST ACTIONS

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

### E. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS

- If client is dealing through the sub-broker, provide the following details  
 Sub-broker's Name:  SEBI Registration number:   
 Registered office address:  Ph  Fax  Web
- Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)  
 Name of stock broker  Name of Sub-Broker, if any   
 Client Code  Exchange  Details of disputes/dues pending from/to such stock broker/ sub-broker

### F. ADDITIONAL DETAILS

- Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)   
 Specify your Email id, if applicable
- Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)
- Number of years of Investment/Trading Experience
- Settlement of Funds/ Securities preferred atleast on ( tick appropriate box)       Quarterly       Monthly
- Whetheryou wish to receive Securities to your account on pay-out       Yes       No
- Whetheryou wish to receive Funds to your account on pay-out       Yes       No



## 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 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, if any.

Date:

Place : .....

**X**  **5**  
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                     |
|------------------------------------|--|--|--|
| <b>Name of the Employee</b>        |  |  |  |
| <b>Employee Code</b>               |  |  |  |
| <b>Designation of the employee</b> |  |  |  |
| <b>Date</b>                        |  |  |  |
| <b>Signature</b>                   | <b>X</b> <input style="width: 80px;" type="text"/> | <b>X</b> <input style="width: 80px;" type="text"/> | <b>X</b> <input style="width: 80px;" 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 '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.

Nomination accepted and registered vide Registration No. / Date .....

**X**   
Signature of the Authorised Signatory(ZSL)  
Date

Seal/Stamp of Zen Securities Ltd.

## INSTRUCTIONS/ CHECK LIST

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.

# CENTRAL DEPOSITORY SERVICES (INDIA) LIMITED.

## Additional Details for Demat Account Opening

 Individual

 NRI

 Foreign National

(To be filled by ZEN)

**CLIENT ID.** 1 2 0 3 8 1 0 0

Date: DD MM YY YY

I / We request you to open a demat Account in my / our name as per the following details:-

**Type of Account** (Please tick whichever is applicable)

 (To be filled by the applicant in **BLOCK LETTERS** in English)

| Status                                    | Sub - Status  |   |   |   |
|---|---|---|---|---|
| <input type="checkbox"/> Individual       | <input type="checkbox"/> Individual Resident            | <input type="checkbox"/> Individual Director                    | <input type="checkbox"/> Individual Director's Relative | <input type="checkbox"/> Individual HUF / AOP |
|   | <input type="checkbox"/> Individual Promotor            | <input type="checkbox"/> Individual Margin Trading A/c (MANTRA) |   | <input type="checkbox"/> Others ( Specify)    |
| <input type="checkbox"/> NRI              | <input type="checkbox"/> NRI Repatriable                | <input type="checkbox"/> NRI Non – Repatriable                  | <input type="checkbox"/> NRI - Repatriable Promotor     |   |
|   | <input type="checkbox"/> NRI - Non Repatriable Promotor | <input type="checkbox"/> NRI Depository Receipts                | <input type="checkbox"/> Others ( Specify)              |   |
| <input type="checkbox"/> Foreign National | <input type="checkbox"/> Foreign National               | <input type="checkbox"/> Foreign National - Depository Receipts | <input type="checkbox"/> Others ( Specify)              |   |

**JOINT HOLDERS-SECOND HOLDER'S DETAILS**

\*First Name

Middle Name

\*Last Name

\*Father / Husband Name

 Title  Mr  Mrs.  Miss  Other

 Suffix 

Permanent Address

 \* City  \* State  \* Country 

 \* Pin Code  \* Phone No.  Fax No. 

 PAN  Mobile :  E-mail ID 
**JOINT HOLDERS-THIRD HOLDER'S DETAILS**

\*First Name

Middle Name

\*Last Name

\*Father / Husband Name

 Title  Mr  Mrs.  Miss  Other

 Suffix 

Permanent Address

 \* City  \* State  Country 

 \* Pin Code  \* Phone No.  Fax No. 

 PAN  Mobile :  E-mail ID 

 I/we instruct the DP to receive each and every credit in my/our account (Automatic Credit)  Yes  No

 A/c Statement required  Daily  Weekly  Fortnightly  Monthly

 I / We request you to send Electronic Transaction-cum-Holding Statement at **Sole / First Holders**
 Yes  No

Email ID stated in the Account Opening Form or at .....

Do you wish to receive dividend/interest directly in to your bank account given below through ECS?

 Yes  No

**BANK DETAILS : ( Dividend Bank Details)**

 Bank Name  Branch Name 

 Bank Address 

 City  State  Country  Pincode 

 Bank A/c No.  A/c Type  Saving  Current  Cash Credit  Others (Specify) 

 Bank Code No.(9 digit MICR code on the cheque book issued by the Bank.) 

(i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)

(ii) Photocopy of the Bank Statement having name and address of the BO and not more than 4 months old, (or)

(iii) Photocopy of the Passbook having name and address of the BO, (or)

(iv) Letter from the Bank.

◆ In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document and it should be self-certified by the BO.

I/We have read the terms & conditions DP-BO agreement and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.

|                          | Second Holder  | Third Holder   |
|--------------------------|--|--|
| Name                     |  |  |
| Signature                | <b>2<sup>nd</sup></b>  | <b>3<sup>rd</sup></b>  |
| Passport size Photograph | <b>2<sup>nd</sup></b><br>(Please sign across the Photograph) | <b>3<sup>rd</sup></b><br>(Please sign across the Photograph) |

(In case of minor holder, photograph of guardian has to be affixed along with minor's photograph.)  
(Signatures should be preferably in black ink)

Name\* :

\* In case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

### Additional Details :

**SMS Alert Facility :**  Yes  No Mobile No.: +91  Refer to terms & conditions give as Annexure -A

**Easi**  Yes  No If yes , please contact your DP for details (Facility through CDSL's website : www.cdslindia.com where in a BO can view his ISIN balances, transactions and value of the portfolio online.)

### Details for Joint Second Holder :

Date of Birth  Sex :  Male  Female Nationality :  Indian  Others ( Specify)

### OCCUPATION

Service : {  Central Govt.  State Govt.  Public/Private Sector  NGO  Statutory Body }  
 Professional  Business  Student  Retired  Housewife  Others (Specify)

Nature of Business : (Products/Services provided)

### Details for Joint Third Holder :

Date of Birth  Sex :  Male  Female Nationality :  Indian  Others ( Specify)

### OCCUPATION


Service : {  Central Govt.  State Govt.  Public/Private Sector  NGO  Statutory Body }  
 Professional  Business  Student  Retired  Housewife  Others (Specify)

Nature of Business : (Products/ Services provided)

(Signature Card)

A/c No. 1 2 0 3 8 1 0 0

(To be filled by ZEN)

|                            | Name | Specimen Signature  |
|----------------------------|------|---|
| First Holder <sup>st</sup> |      | <b>1<sup>st</sup></b>  |
| Second Holder              |      | <b>2<sup>nd</sup></b>   |
| Third Holder               |      | <b>3<sup>rd</sup></b>   |

### Documents to be submitted at the time of account opening.

- Application form duly filled in with signature of all the account holders.
- Copies of Proof(s) of identity and Proof of Address.

### Please read the following instructions carefully.

- The original documents must be presented for inspection at the time of submitting the account opening form.

## CDSL SMART SMS Alerts Related To Transactions

### Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL (SMS Alerts will be sent by CDSL to BOs for all accounts and for all credits as well)

**Definitions :** In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Towers, Dalal Street, Fort, Mumbai 400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. "Alerts" means a customized SMS sent to the BO over the said mobile phone number.
6. "Service Provider" means a cellular service provider(s) with whom the depository has entered / will be entering into an arrangement for providing the SMS alerts to the BO.
7. "Service" means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

#### **Availability :**

1. The service will be provided to the BO at his / her request and at the discretion of the depository. The service will be available to those accountholders who have provided their mobile numbers to the depository through their DP. The services may be discontinued for a specific period / indefinite period, with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository. In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

#### **Receiving Alerts :**

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at [complaints@cdslindia.com](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the Depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed with out proper authorization, the BO should immediately inform the DP in writing.



**AGREEMENT BETWEEN A PARTICIPANT AND A PERSON SEEKING  
TO OPEN A BENEFICIAL OWNER'S ACCOUNT**

This Agreement made and entered into at \_\_\_\_\_ this \_\_\_\_\_ day of \_\_\_\_\_, 20\_\_\_\_, between **Zen Securities Limited** having its registered office at 6-3-788/32, 3rd Floor, Vamsee Estates, Ameerpet, Hyderabad - 500 016. hereinafter called "the Participant" of the One part; AND Mr/Ms/ Messrs \_\_\_\_\_ having his/ its office / registered office / address at \_\_\_\_\_ herein after called "the Beneficial Owner" of the Other Part.

**WHEREAS** the Beneficial Owner is desirous of opening a beneficial owner's account with the Participant and the Participant has agreed to open an account in the name of the Beneficial Owner and render services to the Beneficial Owner as a participant, on the terms and conditions recorded hereinbelow:

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN THE PARTIES HERETO AS FOLLOWS :

**General Clause**

1. The parties hereto agree to abide by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Bye Laws and Operating Instructions issued by CDSL from time to time in the same manner and to the same extent as if the same were set out herein and formed part of this Agreement.

**Fees, Charges and deposits**

2. The Participant shall be entitled to change or revise the fees, charges or deposits from time to time provided however that no increase therein shall be effected by the Participant unless the Participant shall have given at least one month's notice in writing to the Beneficial Owner in that behalf. In case the Beneficial Owner committing a default in the payment of any such amount payable to the Participant on their respective due dates or within fifteen days of the same being demanded (where no such due date is specified), the Participant shall be entitled to charge interest on the amount remaining outstanding or unpaid <sup>1</sup>[not exceeding 18%] per annum or part thereof. On such continued default, the Participant after giving two days notice to the Beneficial Owner shall have a right to stop processing of instructions of Beneficial Owners till such time he makes the payment along with interest if any.

**Statement of Account**

3.1 The Participant shall furnish to the Beneficial Owner a statement of his/its account at the end of every month if there has been even a single entry or transaction during that month, and in any event once at the end of each quarter. [The statement of accounts to be provided to the Beneficial Owner under this Agreement shall be in the form specified in Operating Instructions or as communicated by CDSL from time to time.] The Participant shall furnish such statements at such shorter periods as

may be required by the Beneficial Owner on payment of such charges by the Beneficial Owner as may be specified by the Participant.

3.2 It is agreed that if a Participant is providing the services of issuing the statement of accounts in an electronic mode and if the Beneficial Owner is desirous of availing such services from the Participant, then the Participant will furnish to the Beneficial Owner the statement of accounts under its digital signature, as governed under the Information Technology Act, 2000. Provided however that in the event of the Beneficial Owner requiring a physical copy of the statement of accounts, despite receiving the same in the electronic mode, then irrespective of having forwarded the same via electronic mode, the Participant shall be obliged to provide a physical copy thereof to the BO.

3.3 It is agreed and understood between the parties that if the Participant does not have the facility of providing the statement of account in the electronic mode, then the Participant shall be obliged to forward the statement of account only in physical form.

**Beneficial Owner shall intimate change of particulars**

4. The Participant shall not be liable or responsible for any loss that may be caused to the Beneficial Owner by reason of his/its failure to intimate change in the particulars furnished to the Participant from time to time, unless notified by the Beneficial Owner.

**Depository not liable for claims against Beneficial Owner**

5. CDSL shall not be liable to the Beneficial Owner in any manner towards losses, liabilities and/or expenses arising from the claims of third parties or for any fees, charges, taxes, duties, levies or penalties levied, imposed or demanded by any Central, State, statutory or revenue authority in respect of securities

credited to the Beneficial Owner's account.

**Authorised Representative.**

- 6. Where the Beneficial Owner is a body corporate or a legal entity, it shall, simultaneously with the execution of the Agreement furnish to the Participant, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions,deletions or alterations thereto shall be forthwith communicated to the Participant.

**Closure of Account**

- 7. The Beneficial Owner, may, at any time terminate this Agreement by calling upon the Participant to close his/its account with the Participant in the manner and on the terms and conditions set out in the Bye Laws and the procedure laid down in the Operating Instructions. In the event of termination of this Agreement the Beneficial Owner shall either get the securities transferred to some other account or get the same rematerialised.

**Stamp Duty**

- 8. Any stamp duty (including interest or penalty levied thereon) payable on the Agreement and/or on any deed, document or writing executed in pursuance hereof between the parties hereto shall be borne and paid by the Beneficial Owner.

**Force Majeure**

- 9. Notwithstanding anything contained herein or in the Bye Laws, neither party hereto shall be liable to indemnify or compensate the other for any breach, non-performance or delay in performance of any obligations under the Agreement or for any harm, loss, damage or injury caused to the other due to causes reasonably beyond its control including but not limited to tide, storm, cyclone, flood, lightning, earthquake, fire, blast, explosion or any other act of God, war, rebellion, revolution, insurrection, em

bargo or sanction, blockade, riot, civil commotion, labour action or unrest including strike, lock-out or boycott, interruption or failure of any utility service, enemy action, criminal conspiracy, act of terrorism or vandalism, sabotage, or intrusion, or any other irresistible force or compulsion.

**Service of Notice**

- 10. Any notice or communication required to be given under the Agreement shall not be binding unless the same is in writing and shall have been served by delivering the same at the address set out hereinabove against a written acknowledgement of receipt thereof or by sending the same by pre-paid registered post at the aforesaid address or transmitting the same by facsimile transmission, electronic mail or electronic data transfer at number or address that shall have been previously specified by the party to be notified. Notice given by personal delivery shall be deemed to be given at the time of delivery. Notice given by post in accordance with this clause shall be deemed to be given at the commencement of business of the recipient of the notice on the third working day next following its posing. Notice sent by facsimile transmission, electronic mail or electronic data transfer shall be deemed to be given at the time of its actual transmission.

**Arbitration**

- 11. The parties hereto shall, in respect of all disputes and differences that may arise between them, abide by the provisions relating to arbitration and conciliation specified under the Bye Laws.

**Jurisdiction**

- 12. The parties hereto agree to submit to the exclusive jurisdiction of the courts in Hyderabad.

**Governing Law**

- 13. The Agreement shall be governed by and construed in accordance with the laws in force in India.

IN WITNESS WHEREOF the parties hereto have hereunto set and subscribed their respective hands/seals to this Agreement in duplicate on the day, month, year and place first hereinabove mentioned.

SIGNED AND DELIVERED by the within named the Participant

by the hands of its authorised representative

ZEN SECURITIES LIMITED

Z

In the presence of

Z

ZEN SECURITIES LIMITED Address: 6-3-788/32, 3rd Floor, Vamsee Estates, Ameerpet, Hyderabad - 500 016.

SIGNED AND DELIVERED

by the within named the Beneficial owner

1<sup>st</sup>



2<sup>nd</sup>

3<sup>rd</sup>

In the presence of

W

Name :

Address: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

**ANNEXURE - A**
**Tariff applicable to Beneficiary Account opened with CDSL-DP w.e.f 21st September 2011**

| S.No. | Description   | Without Limited POA  |  |  | With Limited POA   |  |  |
|-------|---|--|--|--|--|--|--|
|       |   | A- Scheme  | Free AMC Scheme C-Scheme   | B- Scheme  | Free AMC Scheme D-Scheme   |  |  |
| 1     | Account Opening Charges(in Rs)                      | NIL  | NIL  | NIL  | NIL  |  |  |
| 2     | Non-Interest bearing Deposit (Refundable)           | NIL  | Rs. 5000   | NIL  | Rs. 3000   |  |  |
| 3     | Documentation Charges                               | Rs. 200  | Rs. 200  | Rs. 200  | Rs. 200  |  |  |
| 4     | * AMC Charges (Inclusive of Service Tax)            | Rs. 555  | NIL  | Rs. 333 (Inclusive of Service Tax)   | NIL  |  |  |
| 5     | Purchase(Market/OffMarket)                          | NIL  | NIL  | NIL  | NIL  |  |  |
| 6     | Sales within ZEN (Market/Off- Market)               | Rs. 25   | Rs. 20   | Rs. 15   | Rs. 12   |  |  |
| 7     | Sales Outside ZEN (Market/Off- Market)              | Rs.50 or 0.05% of Value whichever is higher  | Rs.30 or 0.03% of value whichever is higher  | Rs.50 or 0.05% of Value whichever is higher  | Rs.30 or 0.03% of value whichever is higher  |  |  |
| 8     | Dematerialisation                                   | Rs.3 per Cert + Min Rs.25 Courier charges or actuals which ever is higher                                | Rs.3 per Cert + Min Rs.25 Courier charges or actuals which ever is higher                                | Rs.3 per Cert + Min Rs.25 Courier charges or actuals which ever is higher                                | Rs.3 per Cert + Min Rs.25 Courier charges or actuals which ever is higher                                |  |  |
| 9     | Rematerialisation Charges                           | Rs.12 per 100shares or part quantity or Rs.12 per Certificate whichever is higher+ RS.25 courier charges | Rs.12 per 100shares or part quantity or Rs.12 per Certificate whichever is higher+ RS.25 courier charges | Rs.12 per 100shares or part quantity or Rs.12 per Certificate whichever is higher+ RS.25 courier charges | Rs.12 per 100shares or part quantity or Rs.12 per Certificate whichever is higher+ RS.25 courier charges |  |  |
| 10    | Pledge(Creation/Closure/Invocation) per Transaction | Rs. 50   | Rs. 25   | Rs. 50   | Rs. 25   |  |  |
| 11    | Additional Statement                                | Rs. 25   | Rs. 25   | Rs. 25   | Rs. 25   |  |  |
| 12    | DIS Booklet (For 10 Leaves)                         | Rs. 50   | Rs. 25   | Rs. 50   | Rs. 25   |  |  |

**NOTE:** 1. Transaction cum billing statements will be sent monthly provided there is a transaction. If there is no transaction, a statement will be sent once in a quarter.

2. \* This scheme will be valid for one year and will be automatically renewed at the end of the year, unless a written communication is received at our H.O.

3. The above rates are based on the existing CDSL charges and will be revised on revision by CDSL. The charges are also subject to revision by Zen Securities Ltd.

4. Service Tax would be levied on all transactions as applicable

5. In case of Corporate A/C, an Additional AMC of Rs. 500/- per Annum payable to CDSL would be collected.

6. In case of Closure/Shifting of A/C by the client, Proportionate AMC is applicable as per CDSL Norms. In Free AMC Scheme Proportionate AMC will be adjusted from the Refundable Deposit.

7 a) To open an investor account with limited POA, customer should have a Trading Account or simultaneously open a Trading Account with ZSL

b) Customer needs to execute onetime Limited "POA" to avail hassle free, paper less "Automated Pay-in" facility for his sales in ZSL Trading Account.

8. Tariff scheme(tick appropriate box)  A Scheme  B Scheme  C Scheme  D Scheme

1<sup>st</sup>

First Holder Signature


2<sup>nd</sup>

Second Holder Signature

3<sup>rd</sup>

Third Holder Signature

## Mandatory Policies and procedures of Zen Securities Limited (ZSL)

(This is a mandatory document and the same is required to be executed by client. The following are the policies and procedures of ZSL pursuant to SEBI circular MIRSD/ SE/ Cir – 19/2009 dated December 3, 2009.)

### Refusal of orders for Penny stocks:

ZSL may refuse execution of orders in penny stocks or illiquid stocks or stocks having low liquidity or stocks in S,Z and B2 category or any other stocks which are quoting less than Rs. 10/- or ZSL may accept, refuse or partially accept any buy or sell order for execution from a client, as a part of due diligence and risk management policy. I / we agree to the same and undertake that I / we will not question the same.

### Setting up of Client's Exposure Limits:

ZSL may at its discretion give the exposure, equivalent to pre-determined multiple times of the net credit balance in the ledgers (across all segments), and the value of the collaterals given by the client (after applying appropriate hair cut). The level of exposure granted to the client will also depend on the track record of the client and / or market conditions and / or regulatory directives and or policies of ZSL. I / we agree to abide by exposure norms decided by ZSL, from time to time.

### Applicable Brokerage rates:

The client agrees to pay brokerage to ZSL as per the agreed terms. The brokerage rates vary from client to client. ZSL agrees that it shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchange / SEBI. I / we agree for the same.

### Imposition of Penalty/ Delayed payment charges:

ZSL reserves the right to levy penalty/delayed payment charges @ 18% p.a or at any other percentage as decided by ZSL from time to time, on the delayed payment beyond T + 2 day . ZSL shall pay delayed payment charges @18% p.a. for the delayed period in the event of delay in making payment to the client beyond 1 working day upon receipt of request from the client for pay-out. ZSL is authorized by the client to pass on to the client any penalty imposed by any Exchange/ SEBI / any other regulatory authority, which arises on account of the client. I / we agree for the same.

### Right to sell client's securities or close client positions:

ZSL reserves the right without prejudice to the other rights (including the right to refer matter to arbitration), with or without giving notice, to liquidate / close out all or any of the client's positions including intraday positions for non-payment of margins, MTMs or insufficient balances or any other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations/ margins etc. Any and all losses and financial charges on account of such liquidation / closing out shall be charged to and borne by the client. I / we agree for the same.

### Shortages in obligations arising out of internal netting of Trades:

ZSL may not be in a position to deliver shares purchased by client in the event of internal shortages and in such circumstances ZSL may cover such internal shortage upon noticing the shortage on or after T + 2 day. ZSL reserves the right to prescribe procedure from time to time for close out of transaction in case of non-availability of shares for covering. I / we agree for the same and will not question the procedure of ZSL in this regard.

### Client may not be allowed to take further positions or TM may close the existing position of the client

The client may not be allowed to take further position or ZSL shall close the existing position in the event of : a) non-payment of settlement obligations, margins,MTMs or other amounts or other debts with in the scheduled time to ZSL. b) death or insolvency of the client or his / it's otherwise becoming incapable of meeting the settlement obligation; c) directives received from time to time from exchange / SEBI/ regulatory authorities. d) a client makes a request in writing for discontinuance of trading account. e) any arbitration proceedings between the client and ZSL; f) the client incurs/ incurring abnormal notional loss/ MTM; g) the ZSL exceeds the scrip wise open positions/market wide positions as fixed by the exchanges. h) the client exceeds specific scrip/contract limits fixed by the ZSL from time to time, (i)exercising the discretion by ZSL. I / we agree for the same.

### Temporarily suspending or closing a client's account

ZSL shall suspend the trading account temporarily or close the client account a) at the client's request upon the receipt of the same in writing provided that there are no dues of funds and securities from the client. b) where the client has not cleared the naked or uncovered debits which are more than 5 days c) where the client account is under investigation by any regulatory body d) where the client is inactive for more than one year e) where the client has not updated the change in personal communication details like change in address, bank details, email id, mobile no., land line no. etc f) where the client is reported to or known to have expired. ZSL reserves the right to recovery of outstanding dues including securities, if any, due to ZSL from the client. I / we agree for the same.

### Deregistering a client

The client will be allowed to close/ deregister the trading account a) only upon receipt of written request and on clearing of all the dues in respect of funds and securities to ZSL. b) based on action taken SEBI/ Exchange/ any other regulatory body or being part of list of debarred entities published by SEBI. c) when the client is having suspicious background, link with suspicious organizations etc on the basis of information found in the website. In such an event ZSL may freeze the available securities / funds of the client. However no documents that were submitted by the client to ZSL will be returned to the client. I / we agree for the same.

I/We have clearly understood and agree to abide by aforesaid policies and procedures.

I/We also understood and agree that these policies and procedures can be changed by ZSL from time to time subject to posting of the amendments and modification therein on its website and their applicability with prospective effect.

Client Signature : **X**

**ZEN SECURITIES LTD.**

**TARIFF SHEET**

| Sl.No. | Description             |   |                |  |  |   |
|--------|-------------------------|---|----------------|--|--|---|
| 1      | <b>Brokerage @</b>      | <b>Equity</b>                           | <b>Futures</b> | <b>Options%*<br/>or flat rate</b>                          | <b>CDS</b><br>(Currency Derivative<br>segment) | <b>Uniform %</b>  |
|        | Delivery/CF             |   |                | *per lot   |  |   |
|        | Delivery/CF-Min.(in Rs) |   |                | -do-   |  |   |
|        | Intraday                |   |                | -do-   |  |   |
|        | Intraday-Min.(in Rs)    |   |                | -do-   |  |   |
|        | Below par scrips #      |   |                | ---  |  |   |
|        | Z, T2T scrips           | min 0.75% *                             |                | ---  |  |   |
| 2      | Transaction Charges     | NSE - 0.0040%<br>BSE - 0.0045%          | 0.0035%        | 0.0500%  | MCX-SX - 0.0025%<br>NSE Currency -<br>0.0025%  |   |
| 3      | SEBI Charges ^          |   |                |  |  |   |
| 4      | STT                     | Intraday - 0.0250%<br>Delivery - 0.125% | 0.017%         | 0.017%<br>(premium)<br>0.125%♣<br>(on settlement<br>price) | 0.017%   |   |
| 5      | Service Tax             |   |                |  |  | 10.30%  |
| 6      | Stamp duty              |   |                |  |  | \$ For every10000/-<br>Rs.0.50<br>Maximum Rs.50<br>round of to Rs.1/- |

**NOTE:**

1. @ Brokerage charges may vary from client to client which is as mutually agreed between the relevant client and ZSL. In case the brokerage amount levied is less than Rs 25 per contract note per segment of an exchange, then the sum of brokerage levied plus 'handling charges' levied shall be equal to Rs 25. The 'handling charges' as calculated above are levied in order to recover the costs of various types of expenditure incurred by the Brokerage House for servicing the clientele. The service tax as applicable is also levied on the 'handling charges'."
2. \* Percentage or fixed /Minimum brokerage may be subject to change from time to time, with intimation to clients.
3. STT, stamp duty, service tax, Transaction charges, SEBI Turnover charges are subject to change from time to time.
4. ^ Sebi Turnover charges 0.0001%, IPF, Clearing Charges & Service Tax are included in Transaction Charges.
5. \$ Stamp duty as prevailing in AP state and in other cases as prevailing in the concerned state.
6. # For below par scrips, brokerage as agreed with the client or as allowed by the Exchanges
7. ♣ STT for sale of Options in securities, where Option is exercised (Purchaser)



Brokerage Code:

Intentionally  
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voluntary

## Letter of Undertaking

Date : \_\_\_\_\_

To,

M/s. Zen Securities Limited, GEV Tulasi, 3rd Floor, Plot No. 151,152 & 153,  
Pragathi Nagar, Opp. JNTU, Quthbullapur, R.R. Dist, Hyd. - 90.

Dear Sir / Madam,

1. I / we hereby declare that I /we am /are not acting as sub-broker or remiser and doing business only on my /own personal behalf. I/ We agree and undertake to indemnify Zen Securities Ltd from any loss/damage/claim arising out of any unregistered sub broking activity, if any, by me/us.
2. I / we declare that I / we am /are fully aware that multiple trading accounts are not permitted across Zen Securities Limited and declare that I / we am/are not registered with any other branch of you.
3. I / we declare that I /we am/are fully aware that M/s. Zen Securities Limited does client based business and also own / proprietary trading as well. I/we have no objection for the same.
4. a) I / we hereby agree that all the financial transactions between me /us and ZSL shall be through account payee cheque only and no demand draft / pay order or cash transactions are permitted on either side I / We hereby further agree that any claim of cash transaction by either party shall not be entertained by the other party.  
b) I / we hereby agree not to issue third party cheques / demand drafts / pay orders for my / our transactions with ZSL.
5. I / we hereby agree to give/take delivery of securities in demat mode from/to my/our own beneficiary account only. I/we here by agree not to issue third party delivery instructions for my/our sale transactions. Further I/we agree not to deposit blank or unfilled delivery instructions with any of your office. It is my/our responsibility to ensure that the shares are transferred exchange wise and settlement wise to the concerned demat pool account of ZSL for effecting delivery to the exchange against my/our sale position/s. I/we further ensure that the shares will be transferred within the pay-in schedule given by exchanges/ZSL/SEBI. Incase I/we fail to transfer the shares on time to ZSL, I/we shall not hold ZSL responsible for any loss/ damages arising out of such delayed transfers. I/ We agree and undertake that it is my/our responsibility to ensure that the DIS is filled properly, fully and correctly. I/We undertake that I/We will not hold ZSL responsible for any loss/damages arising out of such rejections of DIS due to the DIS not being in order.
6. I/we hereby agree that the duly executed contract note issued by you viz. Zen Securities Limited shall only be valid and binding for all legal purposes.
7. I / we hereby accord my/our consent to you to do transactions in my/our trading account based on oral instructions over phone or otherwise. I/we also undertake to raise objections, if any, in writing, with ZSL within one day of receipt of contract note.
8. I/We hereby agree not to enter into any securities transactions/financial transactions/private deals with co-investors and employees/franchisees/associates of ZSL and I/we am/are confined only to getting my/our orders executed thru the trading terminals of stock exchanges and settling those transactions as per settlement Schedules of the exchange.
9. I/we hereby agree to indemnify ZSL fully for any losses arising out of the delivery transactions in the securities held by me/ us or jointly with any other person/s.
10. I/we hereby accord my/our consent to ZSL to debit my/our trading account to the extent of amount due by me/ us to your depository division.
11. I/we agree to provide additional information, details, documents etc. pertaining to me/us as required by NSE, BSE, MCX-SX, SEBI or any other statutory bodies from time to time.

### Exposures

12. ZSL may at its discretion gives the exposure, equivalent to pre-determined multiple times of the net credit balance in the ledgers (across all segments), and the value of the collaterals given by the client (after applying appropriate hair cut). The level of exposure granted to the client will also depend on the track record of the client and / or market conditions and / or regulatory directives and or policies of ZSL. I / we agree to abide by exposure norms decided by ZSL, from time to time.
13. I/We agree that ZSL has the discretion to decide the stocks, which can be provided as margin/collateral. I/We agree for the appropriate hair cut (at the sole discretion of ZSL) for arriving at the value of the collateral shares given by me/us. I/we agree and will not raise any objection on the haircut percentage decided by ZSL from time to time.

### Margins

14. I/we am/are agree that ZSL may collect appropriate margins from the clients for cash market/futures & options transactions/positions in view of its own internal Risk Management Policy/ Exchange/SEBI guidelines.
15. I/we am/are agree that ZSL has the discretion to decide whether the margin will be taken in cash or in stocks. I/ We agree that even though I/We might be having adequate margins in the form of stocks, ZSL may demand the margins in cash depending on market conditions and the same will be paid by me/us within the time given by ZSL. In case I/we fail to pay the amount within the time given, the ZSL can initiate selling of my/our stocks without intimation at their sole discretion.
- 15.1 Not with standing anything contained the above clauses in case of trading in derivative segments of F&O and currency segment, if there is any shortfall/ insufficient margins at anytime, the penalty as prescribed by SEBI/ Exchanges will be passed debited to the client Account. I/We agree for the same.

16. I/We agree that ZSL may demand additional margin (over and above the mandatory margins) from me/us, as apart of their risk management. Such margins may vary from client to client and I/we agree to pay as and when informed to me/us.

#### **Squaring off of positions**

##### **Square off of Intra day positions:**

17. I/We agree and undertake that all the positions taken on intraday basis shall be closed/squared off by me/us at least half-an hour before close of trading. ZSL may also square off all the open positions taken by me/us on intraday basis during last half an- hour before the close of market without intimation to me/us at it's sole discretion. I/we am/are agreeable for such square offs by ZSL with or without intimation to me/us. Incase I/We do not want such square offs I/We agree to convert/transfer/ change, at least half-an-hour before the close of market, the intraday trades to Delivery trades by providing sufficient credit balance/s in my/our account with ZSL for meeting delivery/pay-in obligation.

##### **Square off of Delivery positions:**

18. I/We agree and undertake that I/we shall settle the transactions, within the exchange specified settlement time, by making the requisite payment and/or delivery of the shares sold. I/We agree that in case if I/We fail to settle the transactions within the settlement date, then ZSL has the discretion to square off the open positions, as it deems fit, with or without any notice to me/us. I/We do not have the right to decide on the timing or the open positions that needs to be closed.

I/We understand and agree to the same and undertake that I/We will not hold ZSL responsible for any loss or damages arising out of such squaring off. After such squaring offs of open positions by ZSL, as mentioned above, of both squaring off of Intra day positions and Squaring off of Delivery positions, if there is a debit balance, I/We shall pay the same immediately.

I/We also agree that ZSL shall have the right to liquidate my/our shares (kept as collateral/margin or for any other purpose) to the extent of the debit balance, with or without any intimation to me/us. I/We also agree that I/We do not have the right to decide on the timing of such liquidation of shares and the shares that needs to be sold. I/We undertake that I/We will not hold ZSL responsible for any loss or damage arising out of such selling.

##### **Lien on Client's Account :**

19. All the securities and monies belonging to me/ us in any depository or bank account or any other instruments which are in the possession of ZSL, shall be subject to a lien for the discharge of any obligation or indebtedness of me/us to ZSL. In enforcing the lien, ZSL shall have the sole discretion of determining the securities or assets that are to be liquidated.

##### **Set off Across the Exchange/s :**

20. In case where I/we maintain separate accounts with ZSL to enable to transact on each of the Exchanges (and any other stock exchanges to which this facility may be extended by ZSL to me/ us), I/We agree that ZSL may set off credit balances of securities and/ or funds in one or more of the accounts of mine/ us or any member of my/our Group if any in relation to the said exchanges against the debit balances of securities and /or funds in .one or more of the accounts of mine/us in relation to the other exchanges.

##### **Handling charges for physical contract notes :**

21. Incase I/We opt for physical contract notes, I/We agree to pay an amount of Rs 25/- per contract note as additional 'handling charges', besides what is mentioned in Tariff Sheet. ZSL reserves the right to debit these charges to my / our ledger account.

##### **Cheque bouncing charges :**

22. I/We undertake to ensure that all the cheques issued by me/us to ZSL are honoured by the bankers. In case of any cheque bouncing, the charges for the same, as levied by the bank on ZSL, will be debited to my/our client's ledger account. Also, the cost of legal proceeding against me/us initiated towards cheque bouncing, will be debited to my/our client's ledger account. I/We agree for the same.

##### **Insider trading, manipulative, fraudulent and unfair trade practices :**

23. I/We hereby agree that I/We have fully understood and I/We am/are aware of Securities and Exchange Board of India (Prohibition of fraudulent and Unfair Trade Practices Relating to Securities market) Regulations, 2003. and the SEBI (prohibition of insider trading) Regulations 1992 and provisions of prevention of Money laundering Act 2002. I/We represent, warrant and agree that I/We shall not indulge into any act or carry out any transaction or transactions, directly or indirectly which or in violation of acts, rules, regulations, bye-laws and circulars governing securities transactions. I/We further agree to provide such information as may be sought by ZSL in connection with any enquiry or investigation from any authority and shall provide all necessary assistance as sought by ZSL.

##### **Reserve bank of India guidelines**

24. I/We am/are aware that as per the RBI Guidelines, the Foreign Institutional Investors (FIIs), Non Resident Indians (NRIs), and Persons of Indian Origin (PIOs) are allowed to invest in the secondary capital markets in India through the portfolio investment scheme (PIS). Under this scheme, FIIs/NRIs can acquire the shares/debentures of Indian companies through the stock exchanges in India. These investments are governed and monitored on daily basis by Reserve Bank of India (RBI). On reaching the aggregate ceiling limit as fixed by RBI from time to time, RBI advices all designated bank branches to stop purchases on behalf of their FIIs/NRIs/PIOs clients. RBI also informs the general public about the 'caution' and 'stop purchase' in these companies through press release. I/We being FII/NRI/PIO hereby acknowledge that I/We am/are aware of the RBI guidelines in relation to my/our investment in the secondary market in the India. I/We hereby agree to keep myself/ourselves abreast of the ceiling limits on the investments as published by RBI from time to time and also agree that I/We shall immediately

reverse my/our transaction, if such transaction breach the ceiling limits as imposed by RBI. In case I/We am/are unable to reverse such transaction/s immediately I/We authorize ZSL to do so under intimation to me/us.

#### **Amendment**

25. I/We understand that any term of agreement other than those prescribed by the SEBI shall be changed by giving 15 days prior notice and / or posting on the website.

#### **Arbitration/legal expenses**

26. In case of any arbitration/legal proceedings initiated either by ZSL or by me/us (the client) and the final arbitration award/ court decision is in ZSL's favour, then the cost incurred by ZSL towards the arbitration/legal case will be debited to my/our client's ledger account by ZSL. I/We agree to the same.

#### **General**

27. I / we agree and accept that the price of securities can and does fluctuate, and that any individual securities may experience downward movements, and may under some circumstances even become valueless. I/We therefore appreciate that there is an inherent risks that losses may be incurred rather than profit made, as a result of buying and selling securities.
28. I/We understand and agree that it is the prerogative of ZSL to open any new trading account for any client. ZSL can refuse opening of any new account for any client. I/We agree and understand that I/We cannot insist on, as a matter of right, ZSL shall open the trading account just because I/We have filled up the Registration Kit.
29. I/We understand and agree that the trades executed by me/us might result in profit or loss. I/We agree and undertake that I / We will not deny the trades, if the same resulted in loss and shall not hold ZSL responsible for such losses, arising out of my/our trading decisions.
30. All recommendations given by the Research Department of ZSL are based on technical and/or fundamental analysis of the securities/sector/market. I/We understand and agree that these are only recommendatory calls and I/We shall take my/our own decisions whether to act on such recommendations or not .
31. I/We understand and agree that inadvertent errors may occur, while executing my/our orders. In such circumstances ZSL shall make all reasonable effort to rectify the same and ensure that I/We are not put to any monetary loss. I/ We understand and agree that I/We will not hold ZSL responsible beyond this and I/We will not claim additional damages/loss.
32. ZSL may record the conversations of the client with the dealer or any other staff of ZSL. I/We agree to the same and will not dispute or raise any objection on the same. Further I/We agree that such recording is final and binding on both of us.
33. I/We undertake to read all the emails/sms messages sent by ZSL. I/We undertake not to hold ZSL responsible for any loss/ damages in case I/We fail to read those emails/sms messages. In case I/we donot wish to receive SMS messages, I/we undertake to inform in writing to your H.O. at GEV Tulası, 3rd Floor, Plot No. 151,152 & 153,Pragathinagar, Opp. JNTU, Kukatpally, Hyderabad -500 090.
34. The systems used by ZSL are generally capable of assessing the risk of the Client as soon as the order comes in. However, due to any reason whatsoever, if the order is processed without sufficient risk cover from me/us, I/We shall be bound by such trade and shall provide such amounts as may be required to meet my/our liability under the trade.

#### **Online/Internet trading facility :**

35. (The following voluntary clauses are required in addition to all the above clauses for providing Online/Internet trading facility)
1. ZSL has developed a website under the name " <https://trade.zenmoney.com> (hereinafter called " the website"). The website is owned, operated and maintained by ZSL. I/ We agree to avail the services facilitated byZSL through the use of above website or any other website/s owned, operated and maintained by ZSL.
  2. By availing the Internet trading facility, I/We confirm that I/We have knowledge of how the Internet works and it's usage and utility as a user of Internet. I/We agree not to hold ZSL responsible for my/our lack of computer/ Internet knowledge.
  3. ZSL or the concerned bank will modify and/or add and/or upgrade from time to time the software/hardware/ operating systems etc., which are required for the smooth and safe functioning of the Internet trading platform including Electronic payment Gateway for Net banking software. I/We agree that I/We do not have any objection and undertake to accept such modifications and/or additions in hardware/software at his end in order to be compatible with the facility offered by ZSL.
  4. It may be possible that ZSL might not be in a position to support particular software provided by the bank/s for the facility of Electronic payment Gateway. In such a situation it is possible that ZSL might not be in a position to continue offering Internet trading facility to the clients or offer the electronic payment gateway facility through a particular bank. I/We agree to the same and undertake not to hold ZSL responsible for any loss/damage arising out of the same.
  5. The operation of the bank account, exclusively used by the client for transactions executed through the Internet trading facility offered by ZSL, will be as per the RBI/concerned bank's guidelines.
  6. ZSL shall take reasonable care to ensure the security of and prevent unauthorized access to the Internet trading facility and/ or the Electronic Payment Gateway facility. I/We undertake not to hold ZSL responsible for any loss/ damage due to such unauthorized access beyond the control of ZSL.
  7. I/We agree that I/We shall not use or permit others to use the Internet trading platform and/or Electronic Payment Gateway facility for Net banking or any related services for any illegal or for other purposes than what it is meant for.

8. I/We understand that the ZSL would allot them a unique Client-ID password for accessing the Internet trading platform, including the Electronic Payment Gateway for net banking services. Under normal circumstances, the unique ID and password will be sent to me/us, by courier/ post, at my/our risk.
9. ZSL may specify the compulsory structure of the password like alpha numeric and special characters. I/We agree to abide by the same.
10. I/We agree to change the password immediately, on receipt of the same from ZSL. I/We also agree to change the password on a regular basis as per ZSL's/ Exchange/SEBI guidelines. I/We agree to ensure that the password is kept confidential and not disclosed to any one. I/We undertake not to hold ZSL responsible for any damages/ loss due to password leak.
11. ZSL may, at its discretion, may require the client to adopt such other means of authentication including, but not limited to digital certification and/or smart cards. I/We agree to abide by the same.
12. I/We agree that I/We shall not attempt nor permit others for accessing the account information stored in the computers of the ZSL through any means other than the Electronic Payment Gateway for net banking services.
13. As conclusive proof of transactions executed by me/us either through the Internet trading facility provided by ZSL and or through the net banking using the Electronic payment Gateway, ZSL will provide the relevant electronic logs available by way of system audit trail. I/We agree to accept the same. I/We also agree that ZSL may not be required to provide any additional evidences in proof of the transactions executed by me/us.
14. I/We agree and undertake not to dispute the transactions because the same has resulted in loss and the proof given by ZSL, as mentioned in above paragraph, will be sufficient enough to ascertain whether I/We have executed the transactions or not.
15. Any requests made by me/us for processing/effecting any transactions should be actually received by ZSL, even though I/ We must have forwarded the same from my/our end. I/We agree and undertake that I/We will not hold ZSL responsible for non-receipt of such instructions by ZSL.
16. I/We undertake and confirm that I/We am/are eligible, as per the statutes, to avail the access for the Internet trading facility and net banking facility. I/We also confirm and undertake that I/We have not been prohibited, under law, to access the Internet trading and net banking facility and/or deal in securities market.
17. I / We agree and accept that the Internet is an inherently unreliable medium of communication and provision of information services due to the public nature of the communication and that the accuracy, reliability and soundness of such means of communication and provision of services depends upon, amongst others, the service providers and the telephone, modem, cables systems, facilities and the like used and operated from time to time by such providers and other participants. I / We agree and accept that, as a result of such unreliability, there are risks associated in using such means of communication including the congestion, breakdown, interruption or failure of transmission of the Internet service or any communication equipment or facilities, errors, omissions or delays in the transmission and receipt of orders and other data and information and in the execution and confirmation of orders and /or the execution of orders at prices which may be different from those indicated on the service or prevailing at the time the orders were given. There are also other risks involved such as in the unauthorized access, tampering, modification or alteration of the service and /or the system components and software used or comprised in the service which may result in the use, manipulation, retrieval or the theft or loss of data and information, including my/our personal data.
18. I/We agree that I/We shall cooperate and provide, ZSL, with such information and/or assistance as is required by the ZSL for the performance of the services and/or any other obligations of the ZSL under this Agreement.
19. I/We agree and confirm that while availing the Internet trading facility, including the net banking facility through the electronic payment gateway/s, the same is susceptible to various risk like (a) misuse of password risk (b) Internet frauds (c) mistakes and errors (d) technical risks (e) systemic risks at the bank's end (f) systemic risks at the service provider end (g)technology risks (h) regulatory risks, etc. I/We understand the same and undertake not to hold ZSL responsible for any loss and/or damage arising out of such unforeseen risks.

**Demat Account :**

20. I/We agree to open, maintain and operate a valid Demat account with ZSL. I / We shall provide a power of attorney to ZSL authorizing to debit/credit/block, create lien / pledge my/ our depository account through their authorized personnel, to the extent of the transaction conducted by me/ us and any dues payable to the ZSL.

**Bank Account :**

21. I/We agree to open, maintain and operate one or more bank accounts with a designated bank(s), which shall be used for the purpose of Internet Trading. I / We agree to provide the details of all such bank account(s) to ZSL. I / We agree to enter into an agreement with designated bank(s), if necessary. I/We agree that debit / credit of the bank transactions may be effected by ZSL in the bank accounts towards settlement obligations/margins, etc. I/We agree that ZSL shall have the right, at any time during the subsistence of this agreement, to give any instructions (i.e. transfer / hold / block / endorse / debit / credit etc) pursuant to transactions covered under the agreement to the banks as mentioned herein above. I/we agree for the same. I/We agree that ZSL may, without assigning any reason thereof and without issuing any notice of the same to me/us, reveal information available with ZSL in the course of the arrangement with me/ us, to the bank(s) as mentioned herein above, pursuant to these presents and I/We shall have no remedy there from. I/We agree that any Margin due or shortfall in Margin or any other charges, ZSL is authorized by me/us to block/ transfer / hold / block / endorse / debit the required amount in the designated bank account.
22. I/We agree to pay ZSL a monthly user charges of Rs 500/-(Five hundred rupees) or as modified from time to time, for availing this online / internet trading facility. ZSL, reserves the right to debit these charges to my trading ledger account on a monthly basis

### User name and password/access to the internet trading system

23. ZSL will allot a Username, Password and a PIN, which enables to establish my/our identity, at the time of accessing the ZSL's Internet Based Trading System for availing the services. I/We agree to provide the below required login information, which shall be used by the ZSL to establish my/our identity at the time of accessing the ZSL's Internet Based Trading System and also at the time of availing the services offered by the ZSL. The Information given herein below may be used, by maintaining the privacy of information, by the ZSL to ensure my/our bonafide identity.

Mother's Maiden Name : \_\_\_\_\_ Place of birth \_\_\_\_\_  
(Village/Town) \_\_\_\_\_ (State) \_\_\_\_\_

24. I/We agree and accept that ZSL shall be entitled to withdraw this service, at any time, without assigning any reasons thereof.

### Mobile Declaration

25. a. I/we have been informed by ZSL about the requirement of providing the particulars of mobile telephone for receiving alerts in respect of DP/Trading Account and for other services offered by ZSL.

b. I/we are providing the details of mobile connection as mentioned below for receiving the above mentioned message services which belong to me/us or which does not belongs to me/us and the same is in the name of my/our relative. (Strike off whichever is not applicable)

**Mobile No..... Name of the holder of Mobile phone .....**

c. I/we understand and hereby accept that any messages/alerts sent to the above mobile phone which is my designated mobile, would be deemed to have been delivered to me/us.

d. I/we hereby agree to intimate to ZSL immediately regarding discrepancy/errors in the said messages/alerts.

e. I/we undertake to inform you in writing of any change in the Mobile Phone connection or loss/ misplacement of mobile immediately.

### Business Policy of Zen securities Ltd in Derivative segments of NSE/BSE/MCX-SX

26. I/We am/are aware that derivative products will increase my / our exposure there by increasing my/our risk. I/we am/are agreeable to your terms of Derivative segment/s business policy of ZSL in NSE / BSE / MCX-SX.

I/We agree that:

a) I/We transfer funds through any one of the online banks like., ICICI BANK, HDFC BANK, Karur Vysya BANK, ING VYSYA BANK & AXIS BANK, etc. I/We am/are providing a copy of my/our latest online bank statement (which will be used for my/our trading A/c with you) as an enclosure.

b) ZSL will give me/us maximum gross exposure limit of Rs.1 Crore at any point of time. If the exposure increases to more than Rs.1 Crore due to market appreciation I/We will necessarily calibrate down the exposure to Rs.1 crore at the time of rolling over.

c) The Initial margin payable to the NSE/BSE exchange/s under F&O Segment has to be paid in cheque in full. Additionally 25% of the Initial margin will be paid by me/us as adhoc safety margin in the form of securities or cash. The initial margin payable under currency segment will be 10% or as levied by exchange which ever is higher.

d) The MTM loss on any trade day is to be paid by the same day evening by 6.30 p.m. failing which ZSL may reduce my/our positions to the extent of MTM loss by squaring up on the next day.

e) For effective communication, I/We have opted for digital contract note. I/We am/are also providing my/our mobile declaration so that ZSL can communicate directly or through SMS to my mobile no.

I/we request ZSL to permit me to do business in Futures and Options, currency derivatives segment/s of NSE/BSE / MCX-SX.

### Authorisation to Debit DP charges

27. I/we hereby authorize you to debit my/our trading account held with you for all the charges relating to my/our demat account with ZSL DP. The charges applicable towards the transfer of securities in the settlement/demat account are as following:

- |   |                                   |
|---|-----------------------------------|
| a. DP account opening charges                                 | f. DP inter settlement charges    |
| b. DP transaction charges/pledge/repledge/demat/remat charges | g. Courier charges                |
| c. DP inter segment charges                                   | h. Off market transaction charges |
| d. DP inter segment/exchange charges                          | i. Any other relevant charges     |
| e. DP annual maintenance charges                              |                                   |

### Prevention of Money Laundering Act(PMLA) Declaration

28. I/We having the trading account with ZSL confirm and declare that I/We had read and understood the contents and the provisions of the PMLA Act, 2002 and it was also explained by ZSL official. I/we further declare that I/we shall adhere to the rules and regulations and requirements mentioned in the PMLA Act, 2002.

### ZSL Policy For Inactive Clients

29. ZSL shall temporarily suspend the client account that is inactive for a period of over one year. ZSL shall return the balance of funds and securities, if any, lying with ZSL by issue of cheque/transferring of securities to the client's demat account. In the event of any dues of funds/securities are pending to ZSL by the client and if no response is received for the notice given by ZSL, then ZSL reserves the right to recovery of such dues by selling the securities, if available, or of initiating the legal proceedings or any other action as ZSL deems fit. In case the client wishes to recommence the trading activity after one year, the client account will be activated by obtaining the documentary evidences including address proof, pan copy etc. I/We have noted the same.

### Disclosure of Proprietary Trading by Zen Securities Limited.

30. I/We understand that Zen Securities Limited has been doing proprietary trading in Cash F&O, CDS segments and intend to do Proprietary trading in any other product / segment at any time. I/We have noted the same and have no objection for the same.

## RUNNING ACCOUNT AUTHORISATION

("This document is required to be executed by the client in order to avail the facilities of seamless trading platform with integrated demat and broking accounts as all the clauses of SEBI cir no MIRSD/ SE/Cir-19/ 2009 dated 03.12.2009, are incorporated")

To

Date : \_\_\_\_\_

M/s. Zen Securities Limited, GEV Tulasi, 3rd Floor, Plot No. 151,152 & 153,  
Pragathi Nagar, Opp. JNTU, Quthbullapur, R.R. Dist, Hyd. - 90.

Dear Sir(s)

Sub: - Running Account Authorization for funds and securities. (for all exchanges/segments and for other services offered by ZSL)

I/We am/are an investor dealing in securities through your company. As I /we am/are active investor in order to continue trading activity without interruption, I/we wish to opt for running account system for all exchanges/ segments and other services offered by ZSL. I/we need the following facilities in view of the operational issues and I/We request you to extend the same to me/us.

I/We request you to kindly retain my/our securities bought/excess delivered/given in advance with you only without insisting for delivery within 24 hours of payout. I/We shall specifically make a request to you for the delivery as and when required by me/us. I/We also further request you to consider such securities subject to haircut towards various margins debited to my/our account from time to time irrespective of the segment. Further I/we request you to transfer the required quantity of shares against my/our sale transactions in the subsequent settlement(s).

I/We request ZSL to keep my/our funds pay-out/ given in advance /given in excess/given for various margins purpose/given as a security deposit with you only, without insisting for taking payment within one working day of pay-out. In this regard I/we specifically shall make a request to ZSL for the payment as and when I/We require the funds and until such time I/We authorize ZSL to retain such funds with ZSL only. I/We understand that ZSL shall make payment of such retained funds within one working day from the date of receipt of such request from me/us. I/We further request you to consider such funds towards various margins of any segment/ s payable by me/us and also towards settlement obligation of any purchases made by me/us subsequently and also towards any payment obligation for any type of financial services/schemes offered through ZSL.

I/We understand and agree that it is my/our responsibility to track and advise you to transfer the securities held in/our trading account to my/our demat account for the purpose of availing the benefits of corporate actions.

I/We agree that ZSL is not responsible for any follow-up and applying to companys/RTA(s) for the benefits of corporate actions on my/our behalf for securities held in my/our trading account and I/we will not hold ZSL for any financial implications arising thereto.

I/We authorize ZSL to transfer the balances of funds and securities in one exchange /segment to another exchange/segment as and when debit / requirement arises. Further I / We authorize ZSL to transfer the balances of funds and securities in one exchange /segment of trading account to my / our Commodities Broking trading account with your subsidiary Zen Comtrade Private Limited or vice versa as and when debit arises and / or for margin requirements as and when required.

I/We maintain and operate a Depository Beneficiary (BO) account with ZSL DP of NSDL/CDSL. And I/we hereby authorizes ZSL to debit all charges of all my BO accounts to my trading account.

I/We further understand that I/we can revoke this authorization at any time by giving 7days notice in writting to H.O. of ZSL and the running account authorisation would continue until it is revoked.

I/We further understand that the actual settlement of funds and securities shall be done by ZSL at least once in a month/quarter and ZSL shall send a copy of statement of accounts containing the extract from the clients ledger for funds and an extract from register of securities displaying all the receipts/deliveries of funds/ securities.

I/We understand that there shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

I/We understand and agree that I/we shall bring any dispute arising from the statement of account or settlement to the notice of ZSL within 7 working days from the date of receipt of statement of funds and securities.

Client signature : **X**

**AUTHORISATION TO PLACE ORDERS BY AUTHORISED PERSON VERBALLY/INPERSON & TO COLLECT CONTRACT NOTES, CHEQUES, ETC.**

To  
M/s. Zen Securities Limited, GEV Tulasi, 3rd Floor, Plot No. 151,152 & 153,  
Pragathi Nagar, Opp. JNTU, Quthbullapur, R.R. Dist, Hyd. - 90.

Dear Sir,

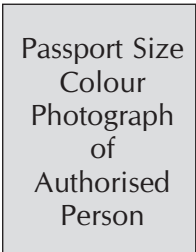
I/we \_\_\_\_\_ hereby authorize

Mr./Mrs. \_\_\_\_\_ . S/o, \_\_\_\_\_

D/o \_\_\_\_\_ Occupation \_\_\_\_\_

Resident of \_\_\_\_\_


\_\_\_\_\_ Tel \_\_\_\_\_ Mobile \_\_\_\_\_



e-mail : \_\_\_\_\_ to do the following on my/our behalf.

To do business, to give instructions orally or in writing, to place, modify, cancel orders to buy and sell Securities in Cash and Futures & Options segment ,currency future segments of NSE / BSE/MCX-SX, MF, SIP, IPOs & FPOs I/we request you to kindly accept my/our authorized person’s verbal orders/instructions, in person or over phone and execute the same. I/we understand the risk associated with placement of verbal orders . I/we shall not disown such orders with the plea that the same was not placed by me/us. I/we indemnify ZSL and its employees and keep you and your employees indemnified against all losses damages, actions which you may suffer or face as a consequence of adhering to and carrying my/our our orders placed verbally as mentioned above.

To receive and / or deliver Cheques, Demand Draft, Funds, Deliveries, Documents, Contract Notes, Statement of Accounts for Funds & Securities, Pending position statements etc. from / to your Organization and to acknowledge wherever required

Client Signature :  \_\_\_\_\_  16

\_\_\_\_\_  
Specimen Signature of Authorised Person

**Request for e-statements for DP transactions**

To  
M/s. Zen Securities Ltd., GEV Tulasi, 3rd Floor, Plot No. 151,152 & 153,  
Pragathinagar, Opp. JNTU, Quthbullapur, R.R. Dist., Hyderabad - 500 090.  
Re: Beneficial Owner (BO) Account No. \_\_\_\_\_


I/We \_\_\_\_\_ [name(s) of the BO(s)]  
had entered into agreement dated \_\_\_\_\_ with you at the time of opening of the aforesaid BO account.

Pursuant to the amendment in Clause 3 of the agreement (Annexure C to the Bye Laws of CDSL), I/We confirm having opted to receive the statement of accounts pertaining to the above mentioned BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us at the following email address shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, I/we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode, if such a demand is made in writing on you.

[Email address: \_\_\_\_\_ ]

I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/ service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

 17  1st \_\_\_\_\_

2nd \_\_\_\_\_

3rd \_\_\_\_\_

## LIMITED POWER OF ATTORNEY

To all to whom these presents shall come, I \_\_\_\_\_  
S/o, D/o, W/o \_\_\_\_\_, resident of \_\_\_\_\_  
\_\_\_\_\_ or We \_\_\_\_\_ an a sole proprietary

concern/ a partnership firm/ a body corporate/ trust, registered/ incorporated under the provisions of the relevant Act, and having its registered office at \_\_\_\_\_ have been availing /wishes to avail the trading facilities including the trading facility through internet/mobile, in Capital market /F&O / Currency derivatives segment/s including interest rate futures, and Depository services through their DP's National Securities Depository Limited (herein after referred to as NSDL) & Central Depository Services Limited(herein after referred to as CDSL) with DP ID's IN302863 & 12038100 respectively, Mutual Funds / IPO's /FPO/Portfolio Management services and trading facility for all exchange traded funds(ETFs), and any other investment facilities offered, from time to time, by Zen Securities Ltd, (a company incorporated under the companies Act, 1956, having its registered office at 6-3-788/32, 3rd Floor, Vamsee Estates, Ameerpet, Hyderabad - 500 016) Member, of National Stock Exchange of India limited with SEBI registration No's. INB230684937, INF230684937& INE230684937, Bombay Stock Exchange Limited with SEBI registration No's. INB010684935 & INF010684935, MCX Stock Exchange Limited with SEBI registration No. INE260684937 (herein after referred to as 'exchanges') AMFI Distributor Regn. No. ARN- 0507 empanelled as Participant in NSE MFSS & BSE Star MF, represented by its Directors, Executives, officers, legal representatives, executors, and administrators, duly authorized by it, as the case may be.

I/We have opened trading account for availing trading facilities, including trading through internet/mobile bearing Client code number \_\_\_\_\_ with Zen Securities Ltd (hereinafter referred to as the trading account) for trading/investing in capital market / F&O / Currency derivatives segment/s including interest rate futures of the exchanges and for availing the online services, IPO, MF and other services.

I / we have opened demat account(s) No.1) Client ID IN302863 \_\_\_\_\_, 2)Client ID 12038100 \_\_\_\_\_ with Zen securities Limited, a depositories participant of NSDL & CDSL having DP ID IN302863 & 12038100 respectively (hereinafter referred to as designated demat account/s).

I / we have opened bank account(s) with 1) bank a/c no. \_\_\_\_\_ in \_\_\_\_\_ bank having its branch at \_\_\_\_\_ and having MICR no \_\_\_\_\_ and IFSC Code \_\_\_\_\_ ;2) bank a/c no. \_\_\_\_\_ in \_\_\_\_\_

bank having its branch at \_\_\_\_\_ and having MICR No \_\_\_\_\_ and IFSC No. \_\_\_\_\_

which will generally be used by me/us for the purpose of payments towards the investment made by me / us or to meet the settlement obligations and other investment services (herein after referred to as designated bank account/s). In order to ensure that I/we meet my/our settlement obligations, within the stipulated time, to the respective exchanges for my/our transactions executed through trading facilities offered by Zen Securities Ltd (hereinafter referred to as ZSL) and in order to facilitate proper execution of all the transactions including but not limited to transactions for purchase, sale/redemption of investment instruments of various types, subscription to IPO's/FPO/Right Issues/ Preferential Offers/open offers/or any other offer of public issue of shares, debentures, derivatives, including but not limited to forwards, swaps, options, scrips, stocks, bonds, mutual fund units including systematic investment plans (SIP) or any other collective investment scheme, any exchange traded funds(ETFs) or any other financial security or any other investment scheme or instrument and to sell the securities on my/our behalf in any buyback or open offer made by the Issuer of such securities or any other financial product or portfolio management services offered by Zen Securities Limited through its web site www.zenmoney.com. I/we have read and understood and agreed to be bound by the terms and conditions specified therein by Zen Securities Limited as amended from time to time and I / we hereby appoint, nominate and constitute ZSL, as my / our true and lawful attorney (hereinafter called as "attorney" for the purpose of brevity, which expression shall, unless repugnant to the meaning or context thereof be deemed to mean and include its successors, legal representatives, executors, administrators, assignees) to do all or any of the following acts, deeds, things for and on my / our behalf and at my/ our risk and costs, and to perform or execute all or any of the following acts, deeds, things mentioned hereunder :

1. To transfer and /or to pledge in favour of ZSL / Exchange(s), securities available with ZSL on my/our behalf and / or in the electronic form in my / our designated demat account(s), in order to meet my/our settlement obligations, any margin and/or MTM requirements arising out of trades executed on the stock exchange on my/our behalf to the respective exchanges for the transactions done in my /our trading account.
2. To transfer the necessary funds, from the credits available in my/ our trading account, and/or from my/our designated bank account(s) for the purpose of meeting my/our funds settlement obligations, margin requirements, MTM obligations in connection with the trades executed by me/us through my/our trading account on various stock exchanges and other agencies. I/We hereby authorize ZSL to issue necessary instructions, on my/our behalf, to the designated bank(s) in this regard. I/we undertake that I/we will intimate the designated bank account(s) to accept such instructions from ZSL for transfer/debiting of funds from the designated bank account(s) towards various charges payable by me/us to ZSL pertaining to my/our transactions in my/our designated demat account(s), bank accounts(s), trading accounts and other charges/fees for availing SMS alerts/internet trading and other services.
3. To apply in IPOs/FPO/Right Issues/ Preferential Offers/ Public offers of various companies and to / invest and / or apply for redemption in various Mutual Fund Schemes, and or in any investment scheme on my / our behalf as per my / our consent (either written consent or any other mode prevailing in the capital market) given each time, through the trading facilities offered by ZSL. ZSL shall apply for investment/redemption in the said issues of companies or Mutual Fund Schemes by signing the relevant forms and other relevant documents as may be required for this purpose, on my/our behalf.
4. To debit / transfer/block money from my / our designated bank account(s) or to debit my/our trading account ledger maintained by ZSL equivalent to an amount, required for applying the IPOs/FPO/Right Issues/ Preferential Offers/ Public offers of various companies and/or to invest in the various Mutual Fund schemes and/or any investment scheme/ any exchange traded funds (ETFs) along with other charges, if any. I / we hereby authorize ZSL to issue necessary instructions, on my / our behalf, to the designated bank(s) in this regard. I/we undertake that I / we will intimate the designated bank(s) to accept such instructions from ZSL for transfer / debit /blocking of funds from the designated bank(s) account(s) to the issuer company, entity, agency directly. I/We hereby authorise ZSL to sell the MF units / IPO shares allotted and recover the money due in my/our account in case the amount required for applying the MF units/ IPO shares are not paid by me/us.

5. To send sms (short message service) alerts/e-mail messages on a daily basis regarding broking transactions(consolidated summary of client's scrip-wise buy and sell positions taken with average rates), debits, and for any or all the other services provided by ZSL as mentioned in the above clauses and for this purpose the mobile no./e-mail id given by me /us is my/our own and in case the mobile no./e-mail id given by me/us is not mine/ours, I/we confirm that the sms alerts sent to such mobile number /e mail id are deemed to have been sent to me/us. My/our designated Mobile No/e-mail id for the said purpose is *same as mentioned in KYC*. In case of any change in designated mobile No./e-mail id, I undertake to inform the details of such change to ZSL immediately in writing.

6. To give instructions to Asset Management Companies / their Authorized Registrars for converting my/our offline folios to online folios and to sign on my/our behalf on the documents necessary for such conversion as required by the Asset Management Companies/their Authorized Registrars. I/we agree that all or any such acts, deeds, things done by ZSL as mentioned in this power of attorney shall be deemed to be the acts, deeds, things done by me/us.

I/we agree that ZSL shall not be responsible /liable for any loss that may result from inadvertent errors, failures/inability in electronic connectivity or rejection of my/our application for any reason whatsoever.

I/we understand that in case of merger/demerger of stock broking wing/depository wing of ZSL at any time with any other entity/ into any other entity the scheme of merger/demerger should be approved by High Court and one month prior intimation shall be given to me/us to decide to continue or discontinue with ZSL.

I/we understand that ZSL would return to me/us the securities or funds that may have been received by it erroneously or those securities or funds that it was not entitled to receive from me/us. Similarly I/we shall return to ZSL the funds & securities erroneously received from ZSL at any time which were not entitled to receive by me/us.

I/We understand ZSL to transfer the balances of funds and securities in one exchange /segment to another exchange/segment and/or to transfer the balances of funds and securities in one exchange /segment of trading account to my / our Commodities trading account with your subsidiary Zen Comtrade Private Limited or vice versa as and when debit arises and / or for margin requirement as and when required. I/we agree for the same.

I/we understand that this POA is being executed by all the joint holders(in case of demat account held jointly). If the constitution of the account is changed for whatever reason ,a new POA shall be executed and the onus of intimation of change of constitution to ZSL shall be mine/ours. I/we agree for the same.

I/we have given this power of attorney on my/our own account and I/we am/are aware that the first lien on my/our designated demats account(s) and bank account(s) lies with me/us.

I/we understand that any disputes/claims arising out of this power of attorney shall be subject to the grievance redressal procedure/ bye-laws of the Exchange(s)/Depository(s) and shall be subject to the arbitration procedure/bye-laws as prescribed by the Exchange(s)/Depository(s) and shall be within the jurisdiction of the courts of Hyderabad.

I/we understand that all the provisions/contents of this power of attorney shall be subject to the concerned Exchange(s)/Depository(s) provisions, rules, bye-laws, regulations, and other provisions of its clearing house, if any, the provisions of SEBI Act, 1992, the SCR Act of 1956 and rules, regulations made there under and as amended from time to time.

I/we understand that the following is the list of Bank & Demat A/c(s) of ZSL (pertaining to clients Accounts only) where the funds & securities can be moved. I/we understand that any addition/change in the following list of Bank & Demat A/c(s) will be communicated, updated in the POA and also will be updated in the website and such additions/ changes also shall become designated Bank/Demat A/c(s) of ZSL.

**List of Bank a/c(s)** (clients A/c) : 000805005202 ICICI-Kairathabad,Hyd. 30556814708 SBI-Rajbhavan Road,Hyd. 0008010200060491 Axis Bank-Begumpet,Hyd. 0210360000017 HDFC-Lakdi-ka-pool,Hyd. and all other Bank A/c(s)as per list given in the Website.

**List of Demat a/c(s)** : IN30286310000634 (NSDL Clg. Pool A/c-NSE CM), IN30286310005679 (NSDL Clg. Pool A/c - BSE CM), 1203810000000036 (CDSL Clg. Pool A/c-NSE CM), 1203810000000114 (CDSL Pay-in A/c BSE CM)and all other Demat A/c(s)as per list given in the Website.

Further I/we understand that the entire list of Bank & Demat A/c(s) is available on the website:'www.zenmoney.com'

I/we understand that this POA shall supercede any other POA executed earlier by me/us in this regard.

I/we undertake to inform ZSL immediately in writing in case of any changes pertaining to designated demat and/or bank account(s)and changes that were intimated shall become designated bank and/or demat account(s) and shall form part and parcel of this POA forthwith.


I/we hereby state that this power of attorney can be revoked by me/us at any time by giving a written intimation to ZSL.The request for revocation shall be sent only to the Director, Zen Securities Ltd, GEV Tulasi, Plot No 151,152& 153, Pragathi Nagar, Opp. JNTU, Quthbullapur, Hyd – 500090. ZSL shall revoke the POA only after receipt of all dues of funds and securities from the client and its settlement at exchanges. I/we understand and agree that in case of revocation of power of attorney ZSL may terminate all or any trading facility(s) and or any other investment service(s) provided by them. In such case, ZSL may increase DP charges/Trading brokerage slab/any other service charges/fees as agreed mutually for rendering services without POA.I/we agree for the same.

I/we understand that ZSL shall provide me/us a certified true copy of this power of attorney after execution.

I/we have executed this power of attorney free of any coercion and not under any duress.

IN WITNESS WHEREOF, I/we have caused this power of attorney to be executed on this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_.

**Signed and delivered by:**

|  |   |
|--|---|
| <input checked="" type="checkbox"/> Signature of First Holder <br><input checked="" type="checkbox"/> Signature of Second Holder<br><input checked="" type="checkbox"/> Signature of Third Holder | Witness Signature <input checked="" type="checkbox"/><br>Name: _____<br>address: _____<br>_____ |
| <b>For and on behalf of Zen Securities Ltd</b><br>Signed and delivered by<br><input checked="" type="checkbox"/> _____<br>Authorised Signatory<br>Name _____   | Witness Signature <input checked="" type="checkbox"/><br>Name: _____<br>address: _____<br>_____ |

**FEMA DECLARATION ( For NRI Clients)**

M/s. Zen Securities Limited, GEV Tulasi, 3rd Floor,  
Plot No. 151,152 & 153, Pragathi Nagar, Opp. JNTU, Quthbullapur, R.R. Dist, Hyd. - 90.

Sub: Declaration for FEMA regulations

Dear Sir/Madam,

I/We \_\_\_\_\_, here by undertake that whenever I/we purchase/sell any security through my/our trading account with ZSL I/we shall report such transaction on a daily basis . I/we also hereby declare that I/we have complied and shall continue to comply with all the FEMA regulations from time to time.

Client Signature :  \_\_\_\_\_

(For NRI clients only)

**HUF Declaration Form**

To

M/s. Zen Securities Limited, GEV Tulasi, 3rd Floor, Plot No. 151,152 & 153,  
Pragathi Nagar, Opp. JNTU, Quthbullapur, R.R. Dist, Hyd. - 90.

We the karta and the Co – Parceners of \_\_\_\_\_  
\_\_\_\_\_ (HUF) have decided to open a Demat Account with ZSL in the name of the KARTA. Mr. \_\_\_\_\_ is the karta of the above Hindu Undivided Family (HUF) and to open a trading account with ZSL in the name of HUF and is authorized to open and operate singly the Demat Account / trading account with ZSL, and sign all forms and documents for and on behalf of the HUF.

We declare and state that the karta is authorized to open the said accounts and transfer, endorse, negotiate and execute necessary documents on behalf of the HUF. ZSL is hereby authorized to honour instructions, oral or written, given by the Karta on behalf of the HUF and has full unrestricted authority to bind all members of the HUF, however constituted from time to time. The specimen signatures of all the Co- Parceners are given below.

We, the undersigned members of the HUF, undertake to bind not only the present members of the said HUF (both adult and minors) but also all future members thereof (both adult and minors) and all persons entitled to a share therein and ourselves personally and our respective interest in the HUF properties as well as our separate estates towards discharge of our obligations to you arising out of the transactions done in the said Demat account / trading account.

We also undertake that any and all claims due to ZSL from the said HUF shall be recoverable personally from all or any of us and also from the entire family properties of the HUF of which the first signatory is the Karta, including the share of the minor co- parceners.

We hereby undertake to inform you of the death or birth of co-parcener or of any change occurring at any time in the membership of the HUF during the subsistence of the account. We confirm to have read and understood the terms and conditions applicable to the account and relating thereto.

Name of KARTA \_\_\_\_\_ PAN of KARTA \_\_\_\_\_

Name of HUF \_\_\_\_\_ PAN of HUF \_\_\_\_\_

| Names of the HUF Family Members | Male / Female | Date of Birth | Relationship with Karta | Signatures                                |
|---------------------------------|---------------|---------------|-------------------------|---|
|                                 |               |               |                         | <input checked="" type="checkbox"/> _____ |
|                                 |               |               |                         | <input checked="" type="checkbox"/> _____ |
|                                 |               |               |                         | <input checked="" type="checkbox"/> _____ |
|                                 |               |               |                         | <input checked="" type="checkbox"/> _____ |

Signature of Karta  \_\_\_\_\_

voluntary

**Mutual Fund Service System / BSE Star MF facility**  
**(Letter to be provided by the Investor to the Participant/Intermediary)**

To,  
Zen Securities Ltd., (ARN-No. 0507 Regd. as participant with AMFI for NSE MFSS/BSE Star MF)  
GEV Tulasi, 3rd Floor, Plot No. 151,152 & 153,  
Pragathi Nagar, Opp. JNTU, Quthbullapur, R.R. Dist, Hyd. - 90.

Date : \_\_\_\_\_

Sir,

Sub: Mutual Fund Service System (MFSS)/BSE Star MF facility

I/We ..... am/are registered as your client with Client Code No. .... and have executed the Trading Member and Client Agreement for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd/Bombay Stock Stock Exchange Limited.

I/We am/are interested in availing the MFSS/BSE Star MF facility of the Exchange/s for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS/BSE Star MF of the Exchange/s.

For the purpose of availing the MFSS /BSE Star MF facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS/BSE Star MF and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mentioned in the Circular dated November 24, 2009/2nd December,2009 and as may be specified by NSE/BSE respectively from time to time in this regard.

I/We shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

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

I/We authorise you to transfer the credit balances lying in my / our Stock Broking Account with Zen Securities Ltd / Commodities broking account with your subsidiary Zen Comtrade Private Limited to my / our MFSS/BSE Star MF account or vice versa as and when debit arises or as and when required

I/we therefore request you to register me/us as your client for participating in MFSS/ BSE STAR MF

Thanking you,

Yours faithfully,

Client signature 



**Details of terms & conditions for the Investor / Client for using New MFSS facility of NSE / BSE Star MF Platform**

- 1. Pre-requisites for becoming Investor / Client for the New MFSS facility(NSE) / BSE Star MF Platform.**
  - 1.1. The client who is desirous of investing in units of mutual fund schemes through the New MFSS / BSE Star MF .
  - 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS / the broker who is a Mutual Fund inter mediary (MFI) of the BSE Star MF Platform.
  - 1.3. The client has satisfied itself of the capacity of the Participant / MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant / MFI and the client shall from time to time continue to satisfy itself of such capability of the Participant / MFI before executing transacting through the Participant / MFI.
  - 1.4. The Client has approached to the Participant / MFI with the application for availing the New MFSS facility / BSE Star MF Platform.
  - 1.5. The client has submitted relevant KYC (Know Your Client) details to the Participants /MFIs.
- 2. Terms and Conditions**
  - 2.1. The client shall be bound by circulars issued by NSEIL / BSE's Rules, Regulations and Notices / circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
  - 2.2. The client shall notify the Participant / MFI in writing if there is any change in the information in the 'client registration form' provided by the client to the Participant / MFI at the time registering as a client for participating in the New MFSS / BSE Star MF Platform or at any time thereafter.
- 2.3. The client shall submit to the Participant / MFI a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant / MFI.
  - 2.4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
  - 2.5. The client shall be wholly responsible for all his investment decisions and instruction.
  - 2.6. The client shall ensure continuous compliance with the requirements of the NSEIL, BSE, SEBI and AMFI.
  - 2.7. The Client shall pay to the Participant / MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant / MFI renders to the Client.
  - 2.8. The client will furnish information to the Participant / MFI in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.
  - 2.9. In the event of non-performance of the obligation by the Participant / MFI, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL / BSE or its Clearing Corporation - Indian Clearing Corporation Ltd. (ICCL).
  - 2.10. In case of any dispute between the Participants / MFIs and the investors arising out of the MFSS facility / BSE Star MF Platform, NSEIL and / or NSCCL / BSE and / or ICCL agrees to extend the necessary support for the speedy redressal of the disputes.

## ACKNOWLEDGEMENT BY CLIENT

I/We have received the Xerox copies of whole set of completed client Registration documents viz. all the documents as mentioned in the index of Account Opening Kit of both mandatory and voluntary documents, including Rights & Obligations, Risk Disclosure Document (RDD) and Guidance note. I/we state that the above documents are executed by me/us with Zen Securities Ltd.

Client Name : \_\_\_\_\_

Client Code : \_\_\_\_\_

Signature



**voluntary**

## CLIENT PROFILE

(This information is solicited by ZSL to render suitable service to the client as ZSL offers various services as mentioned elsewhere in this booklet including the latest service i.e. NPS. The ultimate motto of ZSL is to make their clients maximize their wealth through appropriate investment channel. Therefore we request the client to spare few minutes for filling up the following survey /questionnaire)

|  |  |
|--|--|
| 1. Qualifications of the Applicant:                                  | <input type="checkbox"/> Under Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate and above   |
| 2a. Spouse details (if married)Qualifications:                       | <input type="checkbox"/> Under graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate and above   |
| 2b. Spouse details - Employment                                      | <input type="checkbox"/> employed <input type="checkbox"/> in profession   |
| 2c. Spouse details - Income range (Rs in lakhs)                      | <input type="checkbox"/> less than 1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> above 25   |
| 2d. No. of children: (mention the figure)                            |  |
| 2e. Age group of the children  | <input type="checkbox"/> 1-10 <input type="checkbox"/> 10-18 <input type="checkbox"/> 18 and above   |
| 3. Your house/flat you are staying in is                             | <input type="checkbox"/> own <input type="checkbox"/> rented   |
| 4. How long you have been investing in stocks (mention no. of years) |  |
| 5. The aim /goal of your investments:                                | <input type="checkbox"/> Children education <input type="checkbox"/> Daughters' marriage<br><input type="checkbox"/> House construction <input type="checkbox"/> Additional income   |
| 6. The size of your portfolio: (Rs in lakhs)                         | <input type="checkbox"/> less than1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> Above 25  |
| 7. You invest in stocks with   | <input type="checkbox"/> own funds <input type="checkbox"/> borrowed funds   |
| 8. a. How frequently you track your stocks:                          | <input type="checkbox"/> Several times in a day <input type="checkbox"/> Daily<br><input type="checkbox"/> Weekly <input type="checkbox"/> Monthly   |
| b. Whether you prefer:   | <input type="checkbox"/> Long term investment <input type="checkbox"/> Short Term investment <input type="checkbox"/> Intra-day  |
| c. The type of investor you are                                      | <input type="checkbox"/> Regular Investor <input type="checkbox"/> Occasional investment<br><input type="checkbox"/> Speculator <input type="checkbox"/> Trader  |
| 9. The source of your information for investments:                   | <input type="checkbox"/> research analysis by the broker<br><input type="checkbox"/> newspaper <input type="checkbox"/> friends <input type="checkbox"/> TV <input type="checkbox"/> any other(specify)  |
| 10. Amount of investment you can add every year.                     |  |
| 11. How much risk you are willing to take:                           | <input type="checkbox"/> low risk <input type="checkbox"/> moderate risk <input type="checkbox"/> high risk <input type="checkbox"/> no risk   |
| 12. Whether you have subscribed to/invested in                       | <input type="checkbox"/> MF <input type="checkbox"/> ETF's <input type="checkbox"/> PMS<br><input type="checkbox"/> Gold Stocks <input type="checkbox"/> ULIP/LIC <input type="checkbox"/> NPS<br><input type="checkbox"/> Corp Bonds <input type="checkbox"/> PO Savings <input type="checkbox"/> Real Estate |

# Know Your Client (KYC) Application Form (For Individuals Only)

Application

No. :

Please fill this form in ENGLISH and in BLOCK LETTERS (All Information as applicable in Sections A, B and C below is mandatory)

This information is sought under the Prevention of Money Laundering Act, 2002, the rules notified thereunder and SEBI's guidelines on Anti Money Laundering.

For existing Mutual Fund investors, the address(es) furnished herein will be replaced in the records of the Mutual Fund / Authorised Agent. (Refer Notes / Guidelines overleaf)

## A. Identity Details (Please see guidelines A1 to A6 overleaf)

### 1. Name of Applicant (As appearing in supporting identification document) Title

Mr.  Ms.  Others  Please specify Gender  Male  Female

Name :

Father's Name :

### 2. Date of Birth :

### 3. Nationality : Indian Others Please specify

### 4. Status Please tick (✓) Resident Individual

Non Resident Passport / PIO Card/ OCI card No.

(Passport copy & overseas address proof mandatory for NRI)

### 5. Proof of Identity Permanent Account Number (PAN) (MANDATORY)

Please tick (✓)  Copy of PAN Card attached

Please affix most recent colour photograph 30 mm x 40 mm

Sign across the photograph

## B. Address Details (Please see guidelines B1 to B4 overleaf)

### 1. Address for Correspondence

City/ Town/Village  Postal Code

State:  Country

### 2. Contact Details

Tel. (Off.): (ISD) (STD)  Tel. (Res.): (ISD) (STD)

Mobile: (ISD) (STD)  Fax: (ISD) (STD)

E-mail ID:

### 3. Proof of address to be provided by Applicant.

Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Latest Land Line Telephone Bill  Latest Electricity Bill  Passport  Driving License  Latest Bank Passbook

Latest Bank Account Statement  Latest Demat Account statement  Voter Identity Card  Ration Card

Registered Lease / Sale Agreement of residence  Any other proof of address document (as listed overleaf)

### 4. Permanent Address of Resident Applicant if different from B1 above OR Overseas Address (Mandatory) for Non-Resident Applicant

City/ Town/Village  Postal Code

State:  Country

### 5. Proof of address to be provided by Applicant.

Please submit ANY ONE of the following valid documents & tick (✓) against the document attached.

Latest Land Line Telephone Bill  Latest Electricity Bill  Passport  Driving License  Latest Bank Passbook

Latest Bank Account Statement  Latest Demat Account statement  Voter Identity Card  Ration Card

Registered Lease / Sale Agreement of residence  For NRIs - Any other document attested by local authority.

## C. Other Details (Please see guidelines C1 and C2 overleaf)

### 1. Gross Annual Income Details Please tick (✓)

Upto Rs. 5,00,000  Rs. 5,00,001 to Rs. 25,00,000  Rs. 25,00,001 to Rs. 1,00,00,000

Rs. 1,00,00,001 to Rs. 5,00,00,000  Rs. 5,00,00,001 and above.

### 2. a. Occupation Details Please tick (✓) any one

Private Sector Service  Public Sector / Government Service  Business  Professional  Agriculturist

Retired  Housewife  Student  Forex Dealer  Others (Please specify) .....

### b. If the following is additionally applicable to you Please tick (✓) as applicable

Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)

For definition of PEP, please refer guideline C3 overleaf

## DECLARATION

I hereby confirm that I have read and understood the Instructions mentioned overleaf and apply to CDSL Ventures Limited ('CVL') or other agent of the mutual fund registered under the SEBI (Mutual Funds) Regulations, 1996 for compliance of Know Your Client (KYC) procedure for transacting in units issued by Mutual Funds and I agree to abide by the terms, conditions, rules, regulations and other statutory requirements applicable to the respective Mutual Funds. I hereby declare that the particulars given herein are true, correct and complete to the best of my knowledge and belief, the documents submitted along with this application are genuine and I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any Notifications, Directions issued by any governmental or statutory authority from time to time. I hereby undertake to promptly inform CVL / the mutual fund agent of any changes to the information provided hereinabove and agree and accept that CVL, the respective Mutual Funds, their authorised agents and representatives ('the Authorised Parties') are not liable or responsible for any losses, costs, damages arising out of any actions undertaken or activities performed by them on the basis of the information provided by me as also due to my not intimating / delay in intimating such changes. I hereby authorize CVL / the mutual fund agent to disclose, share, remit in any form, mode or manner, all / any of the information provided by me to the respective Mutual Funds in which I may transact / have transacted and / or to their authorised agents and representatives including all changes, updates to such information as and when provided by me. I hereby agree to provide any additional information / documentation that may be required by the Authorised Parties, in connection with this application. I hereby confirm that this is a unique KYC application and I have not applied for KYC in the past.

Signature of Applicant

Place

Date

Please note that the KYC Application Form and overleaf instructions should be printed on the same page (back to back). If printed separately then both the pages should be attached and signed by the applicant.

For Office Use Only

Name and Employee Number of Receiver

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

KYC Ref.

## IMPORTANT NOTES - PLEASE READ BEFORE FILLING UP THE FORM

1. This Application Form is meant to enable a person to comply with the client identification programme laid down by the Prevention of Money Laundering Act, 2002 (PMLA) hereinafter referred to as Know Your Client (KYC) requirements. It is for use by INDIVIDUALS only. A separate form is provided for non-individual entities such as Hindu Undivided Family (HUF), Corporates, Trusts, Societies, etc.
2. This form is not an Investment Application Form, and is only meant for providing information and documents required for KYC compliance. Applicant must be KYC compliant while investing with any SEBI registered Mutual Fund which has subscribed to the services of CDSL Ventures Limited (CVL) for compliance of the KYC procedure. A list of participating Mutual Funds is available on the website of AMFI at [www.amfiindia.com](http://www.amfiindia.com).
3. Subscription to participating Mutual Fund Units may be made only after obtaining the KYC Acknowledgement at their respective designated Points of Acceptance / Investor Service Centres.
4. Each Unitholders / Investors must attach their KYC Acknowledgement along with the Investment Application Form(s) / Transaction Slip(s) while investing for the first time in every folio. Applications Forms / Transaction Slips not accompanied by KYC Acknowledgement are liable to be rejected by the participating Mutual Funds.
5. **Joint Holders:** Joint holders need to be individually KYC compliant before they can invest with any participating Mutual Fund. e.g. in case of three joint holders, all holders need to be KYC compliant and copies of each holder's KYC Acknowledgement must be attached to the investment application form with any Mutual Fund.
6. **Minors:** In case of investments in respect of a Minor, the Guardian should be KYC compliant and attach their KYC Acknowledgement while investing in the name of the minor. The Minor, upon attaining majority, should immediately apply for KYC compliance in his/her own capacity and intimate the participating Mutual Fund(s) concerned, in order to be able to transact further in his/her own capacity.
7. **Power of Attorney (PoA) Holder:** Investors desirous of investing through a PoA must note that the KYC compliance requirements are mandatory for both the PoA issuer (i.e. Investor) and the Attorney (i.e. the holder of PoA), both of whom should be KYC compliant in their independent capacity and attach their respective KYC Acknowledgements while investing.
8. If an individual becomes a Mutual Fund Investor due to an operation of law, e.g., transmission of units upon death of an investor, the claimant / person(s) entering the Register of Unitholders of the participating Mutual Fund(s) will be required to be KYC compliant before such transfer can take place.
9. The KYC process requires investors to provide their Proof of identity (PAN card copy only) and Proof of Address (any valid documents listed in section B of the KYC Application Form) to comply with KYC requirements. Participating Mutual Funds reserve the right to seek any additional information / documentation in terms of the PMLA at any point of time.
10. Participating Mutual Funds/ CVL will not be liable for any errors or omissions on the part of the applicant / Unit holders in the KYC Application Form. Documents received in support of KYC requirements will be verified at the designated "Points of Service" (PoS), on a best effort basis. However acceptance and processing of the KYC Application Form is subject to independent verification by CVL. In the event of any KYC Application Form being rejected for lack of information / deficiency / insufficiency of mandatory documentation, etc. CVL will inform the applicant of such rejection.
11. The participating Mutual Fund, its Asset Management Company (AMC), Trustee Company and their Directors, employees and agents shall not be liable in any manner for any claims arising whatsoever on account of freezing the folios / rejection of any application / non-allotment of units or mandatory redemption of units / refund due to non-compliance with the provisions of the PMLA, SEBI guidelines or where the AMC / Mutual Fund believes that transaction(s) by an applicant / investors is / are suspicious in nature within the purview of the PMLA and SEBI guidelines and requires reporting the same to Financial Intelligence Unit - India (FIU-IND).
12. Once the investor is KYC compliant, he will be required to intimate his/her KYC details to all the participating Mutual Funds with whom he/she has investments. The KYC Compliance will be deemed to have been completed for the investor in all folios held by him/her (identified by his/her PAN) in the records of the participating Mutual Fund.
13. In case of NRI, details of overseas address along with proper proof for the same & passport copy are mandatory documents.

## GUIDELINES FOR FILLING UP THE KYC APPLICATION FORM

### General

1. The Application Form should be completed in ENGLISH and in BLOCK LETTERS.
2. Please tick in the appropriate box wherever applicable.
3. Please fill the form in legible handwriting so as to avoid errors in your application processing. Please do not overwrite. Corrections should be made by canceling and re-writing, and such corrections should be counter-signed by the applicant.
4. Applications incomplete in any respect and/or not accompanied by required documents are liable to be rejected.
5. Applications complete in all respects and carrying necessary documentary attachments should be submitted at the designated PoS. A complete list of PoS is available on the website of AMFI at [www.amfiindia.com](http://www.amfiindia.com), [www.cdslindia.com](http://www.cdslindia.com) and Mutual Fund websites.
6. You are required to submit a Proof-of-Identity document and a Proof-of-Address document for each address filled by you in this form. Documents submitted to support Identity and Address should be
  - i. **Proof of Identity**
    - Original PAN Card + Self-attested photocopies (Originals will be returned over-the-counter after verification)
  - ii. **Proof of Address**
    - Original Documents + Self-attested photocopies (Originals will be returned over-the-counter after verification) OR
    - True Copies attested by a Notary Public / Gazetted Officer / Manager of a Scheduled Commercial Bank or Multinational Foreign Banks (Name, Designation and Seal should be affixed on the copy). Unattested photocopies of an original document are not acceptable
    - If the above documents including attestation / certifications are in regional language or foreign language then the same has to be translated into English for submission.

### A. Identity Details

1. Name: Please state your name as Title (Mr/Mrs/Ms/Dr/Commander/etc.), First, Middle and Last Name in the space provided. This should match with the name as mentioned in the PAN card failing which the application is liable to be rejected. If the PAN card has a name by which the applicant has been known differently in the past, than the one provided in this application form, then requisite proof should be provided e.g. marriage certificate, or gazetted copy of name change.
2. Date of Birth: Please ensure that this matches with the Date of Birth as indicated in the PAN card.
3. Nationality: Foreign Nationals are not allowed to apply, unless they are Non-Resident Indians (NRIs) or Persons of Indian Origin (PIO).
4. Status : Please tick your current residential status.
5. Please affix most recent colour photograph and sign across the photograph.

### B. Address Details

1. **Address for Communication :** Please provide here the address where you wish to receive all communications sent by the participating Mutual Funds with whom you invest. The address you give here will supercede existing information in the records of the participating Mutual Fund / Registrars and Transfer Agent to the participating Mutual Fund. This address should match with the address in the 'Proof-of-Address' submitted as supporting document; otherwise the KYC Application Form is liable to be rejected.
2. **Contact Details:** Please provide your Telephone / Email contact details. The contact details given by you here will not supercede existing information in the records of the participating Mutual Fund / Registrars and Transfer Agent to the participating Mutual Fund. You will have to independently communicate the same to them in case of any change(s).
3. **Proof of Address Documents :** Please note that each of the two addresses mentioned by you will need to be supported by a 'Proof-of-Address' bearing your or your spouse's / parent's

### Investors Applying for KYC, Please Submit the KYC Documents on A4 Size Paper Only.

#### CHECKLIST (Before submitting this form, please go through the following checklist)

1. Please ensure that the form is completed in all respects and signed by you.
2. Please affix your recent photograph and sign across the photograph.
3. Please attach your PAN card as proof of Identity. This should be a photocopy plus original for verification.
4. Please attach a Proof of Address Document (one for each distinct address). These should be either original + photocopies or attested / notarised photocopies.
5. If you are an NRI, you must mention your overseas address in B(4).
6. Please submit a photocopy of the duly completed KYC Application Form.

For assistance or enquiries please approach the Point of Service where you had submitted your KYC Application Form.

(documents to establish relationship also to be submitted) name as supporting documents. Please tick the box as applicable, for the document provided by you. You may attach any one of the following documents (Any document having an expiry date should be valid on the date of submission):

- Latest\* Land Line Telephone Bill • Latest\* Electricity Bill • Passport • Driving License
- Latest\* Bank Passbook • Latest\* Bank Account Statement • Voter Identity Card • Ration Card • Latest\* Demat Account Statement • Registered Lease / Sale Agreement of residence
- Proof of Address issued by Bank Managers of Scheduled Commercial Banks / Multinational Foreign Banks / Gazetted Officer/ Notary Public / Elected Representatives to the Legislative Assembly / Parliament / Any other document approved by AMFI as a valid address proof. \* These documents should not be more than three months old as on the date of submission of this form.

4. Permanent Address / Overseas Address: If you are a Resident Indian, and your Permanent address is different from the one mentioned in the Address for Correspondence, please state it here. If you are a Non-Resident Indian or a Person of Indian Origin, it is mandatory for you to state your Overseas Address here.

### C. Other details

1. **Gross Annual Income details:** Please tick the applicable box indicating your Gross Annual Income (including both taxable and tax-free incomes).
2. **Occupation details:** Please indicate your current occupation by ticking the one most applicable to you. You are required to fill up the next section, if it additionally applies to you.
3. **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 stateowned corporations, important political party officials, etc.  
**After you have completed filling up the KYC Application Form, please submit the same along with the entire set of supporting documents to any designated PoS. Please also submit a photocopy of the Form for acknowledgement purpose, which you can retain for your records.**

### Other important notes, after the KYC Acknowledgement is issued to you:

1. Please preserve the document from CVL which confirms your KYC compliance. You will need to attach photocopies of this document when you invest for the first time in every folio, in any participating Mutual Fund.
2. If you observe any error in the details captured by CVL, you are requested to approach your nearest designated PoS.
3. If you are already holding investments in any participating Mutual Funds, please provide a copy of your KYC acknowledgement, giving details of your folio / account numbers to such Funds or their Registrars. Please note that your signature on the KYC Application Form should match with that on the records of the participating Mutual Funds.
4. In respect of new investors, signature on the Application Form for investing / transacting in participating Mutual Fund should match with that on this KYC Application Form.
5. After allotment of KYC compliance, if there are any changes in an Applicant's details such as Name, Address, Status, Income bracket, Occupation or Signature, the change should be registered with CVL through a designated PoS expeditiously, by using the KYC Details Change form. **It should be noted that only after such registration will the change be reflected in the participating Mutual Fund's records. Particularly with respect to change of address, investors should register such change giving 10 days time for the subsequent communications from participating Mutual Funds to reach them at their new address.** Original / Attested copies of documents supporting the change will be required to be submitted together with the KYC Details Change Form. **For any other investment related information or changes thereto, the applicant should approach the participating Mutual Funds or their Registrars.**