

# KNOW YOUR CLIENT

## Trading & Demat



[www.lkpsec.com](http://www.lkpsec.com)

CLIENT CODE \_\_\_\_\_

CLIENT NAME \_\_\_\_\_

**LKP Securities Limited**

**Member** : NSE - SEBI Regn. No. INB/INF/INE230720030 , Clg Code 07200

**Member** : BSE - SEBI Regn. No. INB/INF/INE010675433, Clg Code 408

**Member** : MSEI - SEBI Regn. No. INF/INE260720030, Clg Code 47700

**Depository Participant CDSL** : SEBI Regn. No. IN-DP-CDSL-206-2003

## **ACCOUNT OPENING KIT INDEX**

### **MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

S. No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	1
		BSDA Tariff Sheet	2
2.	Account Opening Form	<b>A.</b> KYC form (Trading & DP) - Document captures the basic information about the constituent and an instruction/check list.	3-9
		<b>B.</b> Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	10-13
		Beneficial Owner Declaration	14
3.	Rights and Obligations Sheet	Document stating the Rights & Obligations of stock broker/trading member, sub-broker for trading on exchanges (including and client additional rights & obligations in case of internet/wireless technology based trading).	Section A*
4.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	Section B*
5.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Section C*
6.	Policies and Procedures	Mandatory Policies applicable to Clients	Section D*
7.	Rights & Obligations of BO & DP	Rights & Obligations of BO & DP as prescribed by SEBI	Section E*

### **VOLUNTARY DOCUMENTS**

8.	Power of Attorney for the purpose of settlement / Margin obligation	POA provided by BO to LKP for settlement purpose etc.	15-18
9.	Authority Letter For Dealings	Authority for dealing	19
10.	Running Account Authorisation	Authorisation to maintain running account / quarterly settlement etc.	20
11.	Client's Letters	Undertaking for Online and Offline Authority Letter for Investment Products	21
12.	MFSS Application	MFSS (Mutual Fund) Facility Activation	22

\*of attached Booklet

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intentionally.**

# LKP Securities Ltd.

## CLIENT INTRODUCTION FORM

V 05.16.07

***FOR OFFICE USE***

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

DP ID

Client ID  Client Code

Trading & Demat Account  OnlyTrading Account  Only Demat Account

**Type of Account opted :** BSDA Account  Regular Demat Account

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

### For Internal Use

Back Office Code		
Mapping Details	Code	Name
RM / BM		
Dealer		
Tele Caller / Marketing Activity / Referral		
Introducer		
Introducer Address		
	Introducer Phone :	
Branch Code		
Branch / Sub-broker / AP / Remisier / Existing Client / Others, please specify :		

I would like to introduce the above client and I state that I have verified the present residential & office address of the above client and the same are existing, I have also checked out his relationship /dealing with other brokers in the past and found them to be clear of any discrepancies or liabilities. The duly filled in client registration form is also attached here with for your verifications kindly approve the same.

Remarks if any :

Name & Signature of Introducer

**Notes : Below mentioned Symbols denotes various signatures**

“ ” Client Signature – 16 signatures

“  ” 2<sup>nd</sup> Holder Signature – 9 signatures ( In case of Joint accounts )

“  ” 3<sup>rd</sup> Holder Signature – 9 signatures ( In case of Joint accounts )

“ ” Witness Signature - 2 signatures

“ ” LKP authorized Signature – 3 signatures

“ ” Non-Individual – 14 signatures

## **BSDA TARIFF SHEET**

Particulars	BSDA Tariff	
	Holding value <= Rs.50000/-	Holding Value from Rs.50001 to Rs. 200000/-
Annual Maintenance Charge	NIL	
Account opening Charges	Nil	
Postage / Courier Charges,if any	Rs.25 + Service Tax	
Rejection of DRF	Rs.100 each + Service Tax	
Dematerialization		
Rejection of RRF		
Rematerialisation		
Additional DIS Booklet		
If DIS book lost		
Market transactions per ISIN		
Off Market transactions per ISIN		
Pledge Creation		
Pledge Closure		
Pledge Invocation		
Old records of Statement of accounts – physical		

- ❖ Service tax and other Levies would be charged extra on actual basis.
- ❖ Once the Holding value exceeds Rs.2 lakhs, AMC as per your existing tariff mentioned above will be applicable

### **BROKERAGE**

SEGMENTS	One Side	Both Side	Minimum
INTRADAY			
DELIVERY			
FUTURES			
OPTIONS			
CURRENCY FUTURES			
CURRENCY OPTIONS			

1. KRA charges on actual basis, on account fetching and / or registration from / with KRA authority.
2. Statutory & Exchange related and Regulatory charges shall be charged which are lawful in nature and under the prevalent norms of the exchange
3. Stamp duty, Services tax, Education cess& other statutory levies (if any) will be charged as applicable from time to time.
4. For availing 'Easiest' facility of CDSL, The charges as levied by CDSL would be collected from clients at actuals.
5. In case of conversion of BSDA Account into regular demat account by virtue of exceeding of value of holding held in BSDA account beyond the prescribed limit of Rs.2 lacs, the charges as applicable to normal demat account will be applicable from that date onwards, as per billing cycle which is for one year.
6. Expiry charges / clearing member charges would be charged separately as applicable at actuals.
7. Any bank charges or Exchange charges on account of any violation done by client shall be charged to the client at actual.

Client Signature  1

## KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

Acceptable Documents (Copies of all documents to be self attested)		Please Tick
<b>PAN Card</b>	Account Holder & Joint Holder's (If any)	
<b>Photograph</b>	One Colored Front Face Photograph on photographic Paper (Passport Size)	
<b>Additional Proof of Identity (Any One)</b> <small>(If Pan card not visible OR Pan card sign &amp; signature in KYC form are different)</small>	1. Unique identification number (UID) (Aadhaar)	<input type="checkbox"/> KRA document used (Email Id & Phone number to be provided on given KRA Form)
	2. Valid Passport (Name, Address & Photo page)	
	3. Voter ID (front and back)	
	4. Valid Driving License (Name, Address & Photo page)	
	5. PAN Card	
	6. Other 1 (Pls. Specify) _____	
<b>Proof of Address (Any One)</b> <small>Permanent / Correspondence</small>	1. Valid Passport (Name, Address & Photo page)	<input type="checkbox"/> KRA document used
	2. Voter ID (front and back)	
	3. Valid Driving License (Name, Address & Photo page)	
	4. Unique identification number (UID) (Aadhaar)	
	5. Bank Statement/Passbook (not more than 3 months old must contain complete address of client)	
	6. Banker's Verification Letter	
	7. Electricity Bill (not more than 3 months old)	
	8. Resident Landline Tel. Bill (not more than 3 months old)	
	9. Registered Flat Sale Agreement of Residence	
	10. Registered Lease/Leave & License Agreement	
<b>Bank Proof With MICR / IFSC Code (1st Holder only)</b>	1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)	
	2. Banker's Certificate on letter head of the Bank (ORIGINAL)	
	3. Cancelled Personalized Cheque leaf	
<b>Demat Proof (Any One) (1st Holder only)</b>	1. Client Master (CML copy duly attested by DP)	
	2. DP Statement / Transaction cum Holding Statement	
<b>Proof of Income (Any One)</b> <small>(Mandatory for F&amp;O / Currency Segments) (1st Holder only)</small>	1. Copy of ITR Acknowledgement	
	2. In case of salary income - Salary Slip, Copy of Form 16	
	3. Net-worth certificate (Not more than 1 year old)	
	4. Copy of Demat Account Holding Statement	
	5. Bank Account Statement for last 6 months reflecting income	

### FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

Client Name				
		First/Sole Holder	Second Holder (if any)	Third Holder (if any)
1.	Are you U.S. Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Specify country of residence for tax purpose (Tax Residency)	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other
3.	Specify country of citizenship	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other	<input type="checkbox"/> India <input type="checkbox"/> Other

**Note:** If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from [www.lkpsec.com](http://www.lkpsec.com) or call at centralized helpdesk at (022) 6635-1234 or write to [helpdesk@lkpsec.com](mailto:helpdesk@lkpsec.com).

2  
(First/Sole Holder Signature)

1  
(Second Holder Signature)

1  
(Third Holder Signature)

## **INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM**

### **A. IMPORTANT POINTS :**

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

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### **C. Proof of Address (POA) : - List of documents admissible as Proof of Address :**

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

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

### **D. Exemptions/clarifications to PAN**

(\*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

**E. List of people authorized to attest the documents :**

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

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

Types of Entity	Documentary Requirements
<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>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</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>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</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).</li> <li>• Copy of Trust deed.</li> <li>• List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</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; Power of Attorney 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>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</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> </ul>



**KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS**

Please fill this form in ENGLISH and in BLOCK LETTERS.

**First Holder Details**

**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 : \_\_\_\_\_(dd/mm/yyyy)
4. a. Nationality : \_\_\_\_\_  
b. Status :  Resident Individual  Non Resident  Foreign National
5. a. PAN : \_\_\_\_\_  
b. Aadhaar Number, if any : \_\_\_\_\_
6. Specify the proof of Identity submitted : \_\_\_\_\_

PHOTOGRAPH  
Please affix your recent passport size photograph and sign across it  
 3

**B. ADDRESS DETAILS**

1. Residence Address : \_\_\_\_\_  
\_\_\_\_\_  
Landmark : \_\_\_\_\_ City/town/village : \_\_\_\_\_  
Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_  
Mobile No. : \_\_\_\_\_ Fax : \_\_\_\_\_  
Email id : \_\_\_\_\_
3. Specify the proof of address submitted for residence address : \_\_\_\_\_
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) :  
\_\_\_\_\_  
\_\_\_\_\_  
City/town/village : \_\_\_\_\_ Pin Code : \_\_\_\_\_  
State : \_\_\_\_\_ Country : \_\_\_\_\_

**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.

 4  
\_\_\_\_\_  
**Signature of the Applicant**

Date : \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

Originals verified and Self Attested Document copies received

 1a  
\_\_\_\_\_  
**Name & Signature of the Authorised Signatory**

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

**Seal/Stamp of the intermediary**

**KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS**

Please fill this form in ENGLISH and in BLOCK LETTERS.

**Second Holder Details**

**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 : \_\_\_\_\_(dd/mm/yyyy)
4. a. Nationality : \_\_\_\_\_  
b. Status :  Resident Individual  Non Resident  Foreign National
5. a. PAN : \_\_\_\_\_  
b. Aadhaar Number, if any : \_\_\_\_\_
6. Specify the proof of Identity submitted : \_\_\_\_\_

PHOTOGRAPH Please affix your recent passport size photograph and sign across it ✓ 2
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**B. ADDRESS DETAILS**

1. Residence Address : \_\_\_\_\_  
\_\_\_\_\_  
City/town/village : \_\_\_\_\_ Pin Code : \_\_\_\_\_  
State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_  
Mobile No. : \_\_\_\_\_ Fax : \_\_\_\_\_  
Email id : \_\_\_\_\_
3. Specify the proof of address submitted for residence address : \_\_\_\_\_
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) :  
\_\_\_\_\_  
\_\_\_\_\_  
City/town/village : \_\_\_\_\_ Pin Code : \_\_\_\_\_  
State : \_\_\_\_\_ Country : \_\_\_\_\_

**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.

✓ 3  
\_\_\_\_\_  
Signature of the Applicant

Date : \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

Originals verified and Self Attested Document copies received

 1b  
\_\_\_\_\_  
Name & Signature of the Authorised Signatory  
Date : \_\_\_\_\_

Seal/Stamp of the intermediary

**KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR INDIVIDUALS**

Please fill this form in ENGLISH and in BLOCK LETTERS.

**Third Holder Details**

**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 : \_\_\_\_\_(dd/mm/yyyy)
4. a. Nationality : \_\_\_\_\_  
b. Status :  Resident Individual  Non Resident  Foreign National
5. a. PAN : \_\_\_\_\_  
b. Aadhaar Number, if any : \_\_\_\_\_
6. Specify the proof of Identity submitted : \_\_\_\_\_

PHOTOGRAPH Please affix your recent passport size photograph and sign across it <b>X 2</b>
--

**B. ADDRESS DETAILS**

1. Residence Address : \_\_\_\_\_  
\_\_\_\_\_  
City/town/village : \_\_\_\_\_ Pin Code : \_\_\_\_\_  
State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_  
Mobile No. : \_\_\_\_\_ Fax : \_\_\_\_\_  
Email id : \_\_\_\_\_
3. Specify the proof of address submitted for residence address : \_\_\_\_\_
4. Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant) : \_\_\_\_\_  
\_\_\_\_\_  
City/town/village : \_\_\_\_\_ Pin Code : \_\_\_\_\_  
State : \_\_\_\_\_ Country : \_\_\_\_\_

**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.

**X 3**  
\_\_\_\_\_  
Signature of the Applicant

Date : \_\_\_\_\_ (dd/mm/yyyy)

**FOR OFFICE USE ONLY**

Originals verified and Self Attested Document copies received

 1c  
\_\_\_\_\_  
Name & Signature of the Authorised Signatory  
Date : \_\_\_\_\_

Seal/Stamp of the intermediary

## **KNOW YOUR CLIENT (KYC) APPLICATION FORM - FOR NON-INDIVIDUALS**

Please fill this form in ENGLISH and in BLOCK LETTERS.

### **A. IDENTITY DETAILS**

1. Name of the Applicant: \_\_\_\_\_
2. Date of Incorporation : \_\_\_\_\_(dd/mm/yyyy) & Place of Incorporation : \_\_\_\_\_
3. Date of commencement of business : \_\_\_\_\_(dd/mm/yyyy)
4. a. PAN : \_\_\_\_\_ b. Registration No. (e.g. CIN) : \_\_\_\_\_
5. Status (please tick any one) :  
 Private Limited Co.  Public Ltd. Co.  Body Corporate  Partnership  Trust  Charities  
 NGO's  FI  FII  HUF  AOP  Bank  Government Body  Non-Government  
Organization  Defence Establishment  BOI  Society  LLP  Others (please specify) \_\_\_\_\_

### **B. ADDRESS DETAILS**

1. Address for correspondence : \_\_\_\_\_  
\_\_\_\_\_  
Landmark : \_\_\_\_\_ City/town/village : \_\_\_\_\_  
Pin Code : \_\_\_\_\_ State : \_\_\_\_\_ Country : \_\_\_\_\_
2. Contact Details : Tel. (Off.) \_\_\_\_\_ Tel. (Res.) \_\_\_\_\_  
Mobile No. : \_\_\_\_\_ Fax : \_\_\_\_\_  
Email id : \_\_\_\_\_
3. Specify the proof of address submitted for correspondence address : \_\_\_\_\_
4. Registered Address (if different from above) : \_\_\_\_\_  
\_\_\_\_\_  
City/town/village : \_\_\_\_\_ Pin Code : \_\_\_\_\_  
State : \_\_\_\_\_ Country : \_\_\_\_\_

### **C. OTHER DETAILS**

1. Name, PAN, residential address and photographs of Promoters / Partners / Karta / Trustees and whole time directors : As per annexure
2. a) DIN of whole time directors : As per annexure  
b) Aadhaar number of Promoters / Partners / Karta : As per annexure

### **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.

 2

\_\_\_\_\_  
Name & Signature of the Authorised Signatory

Date : \_\_\_\_\_ (dd/mm/yyyy)

### **FOR OFFICE USE ONLY**

Originals verified and Self Attested Document copies received




 1d

\_\_\_\_\_  
Name & Signature of the Authorised Signatory

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

Seal/Stamp of the intermediary

**DETAIL OF PROMOTERS / PARTNERS / KARTA / CO-PARCENERS / TRUSTEES AND  
WHOLE TIME DIRECTORS / TWO DIRECTORS IN CHARGE OF DAY TO DAY OPERATIONS**

Particulars	1st	2nd	3rd
Name			
Designation			
PAN			
Proof of Identity submitted			
Proof of Address submitted			
DIN of whole time directors			
Aadhaar number of Promoters / Partners / Karta			
Residential Address			
Photograph	<p align="center">PHOTOGRAPH</p> <p align="center">Please affix the recent passport size photograph and sign across it</p> <p align="center"> 3a</p>	<p align="center">PHOTOGRAPH</p> <p align="center">Please affix the recent passport size photograph and sign across it</p> <p align="center"> 3b</p>	<p align="center">PHOTOGRAPH</p> <p align="center">Please affix the recent passport size photograph and sign across it</p> <p align="center"> 3c</p>

**Use additional sheet, if required.**

**TRADING ACCOUNT AND DP RELATED DETAILS**

*For Individuals & Non-individuals*



**BANK ACCOUNT(S) DETAILS**








Particulars	Bank Details - I	Bank Details - II
Account No.		
Bank Name		
Micr Code		
Branch Add		
IFSC Code		
Account Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current	<input type="checkbox"/> Saving <input type="checkbox"/> Current

**DEMAT ACCOUNT(S) DETAILS**

Particulars	Demat Account(s) Details - I	Demat Account(s) Details - II
Depository	<input checked="" type="checkbox"/> CDSL <input type="checkbox"/> NSDL	<input type="checkbox"/> CDSL <input type="checkbox"/> NSDL
DP Name	<b>LKP Securities Ltd.</b>	
Beneficiary Name		
DP ID	<b>12030000</b>	
BO A/c No. (Beneficiary ID)		

**TRADING PREFERENCES**

 5 /  4 # Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Segments	BSE	NSE	MSEI
Cash			<del></del>
F&O			<del></del>
Currency			

# 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.

**INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002**

<b>Experience</b>	Number of years of Investment / Trading Experience <input type="checkbox"/> <input type="checkbox"/>	
<b>Gross Annual Income</b>	<input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs OR Net Worth in ₹ (*Net worth should not be older than 1 year) as on date DD / MM / YYYY	
<b>Occupation</b> (Please tick)	<input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service <input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pls Specify) _____	
<b>Nature of Business</b>	<input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading <input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____	
<b>Is the Client Politically Exposed Person (PEP) or Related to a PEP</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	

### 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 : \_\_\_\_\_

### DEALINGS THROUGH SUB-BROKERS / AUTHORISED PERSON (AP) OTHER STOCK BROKERS

If Yes, please specify :

Name of Stock Broker	Name of SB /AP
Name of Exchange	Client Code (as given by other broker)

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

Whether you are a Member / Sub-broker / AP of any Exchange  Yes  No

If yes, provide SEBI REGISTRATION NO.

### STANDING INSTRUCTIONS / OTHER DETAILS / E-MAIL, SMS ALERT / CONTRACT NOTE PREFERENCE

Contract Note	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Holding & Transaction Statement	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
Smart_SMS Alert Facility required	<input type="checkbox"/> Yes <input type="checkbox"/> No
Receive Delivery Instruction Slip	<input type="checkbox"/> Yes <input type="checkbox"/> No
Share Email ID with Registrar & Transfer Agent	<input type="checkbox"/> Yes <input type="checkbox"/> No
Receive Annual Report	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both
DP Account Statement	<input type="checkbox"/> Monthly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Weekly <input type="checkbox"/> As per SEBI Regulations
Declaration for Mobile Number	Mobile No. _____
Relationship with the Client	<input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent
Consolidated Statement required	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, then	<input type="checkbox"/> Physical <input type="checkbox"/> ECN
Whether you wish to avail the facility of internet trading and Mobile Trading	<input type="checkbox"/> Yes <input type="checkbox"/> No

Notes :

1. Dividend / Interest will be credited to bank account via ECS.
2. In case Client does not opt for DIS Booklet, it would be issued on request at any later date.
3. BO can view his ISIN balances, transactions & value portfolio online. To register for Easi, please visit website - [www.cdslindia.com](http://www.cdslindia.com)

## NOMINEE DETAILS FOR TRADING AND DEMAT ACCOUNT

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

Name			
Address	Same as 1st Holder <input type="checkbox"/> Else fill below details		
City		Pin Code	
Pan Card		Tel	
Relationship with Nominee (if any):		Date of birth	

### GUARDIAN DETAILS (IF NOMINEE IS A MINOR)

Name			
Address			
Tel		Guardian Signature:	

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

6 (First/Sole Holder Signature)	4 (Second Holder Signature)	4 (Third Holder Signature)
------------------------------------	--------------------------------	-------------------------------

Place: \_\_\_\_\_

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

To receive the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. This nomination shall supersede any prior nomination made by me / us.

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

Name _____	Name _____
Address _____	Address _____
_____	_____
Signature  1a _____	Signature  1b _____

### DECLARATION BY CLIENT

- 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 LKP 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.

Place : \_\_\_\_\_

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

7    5    5    5

Signature of Client / All Authorised Signatory(ies)



**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee/SB/AP			
Employee SB/AP Code			
Designation			
Date			
Signature			

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

**LKP Securities Ltd.**

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\_\_\_\_\_  
**Signature of the Authorised Signatory**

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

**Seal/Stamp of the stock broker**

**BENEFICIAL OWNER DECLARATION**

With reference to SEBI Master Circular No CIR/ISD/AML/3/2010 dated December 31, 2010 & CIR/MIRSD/2/2013 dated January 24, 2013 it has been mandated to obtain, sufficient information from clients in order to identify and verify the identity of persons who beneficially own or control the account being opened by broker. The beneficial owner has been defined in the circular as the natural person or persons who ultimately own, control or influence a client and/or persons on whose behalf a transaction is being conducted and includes a person who exercises ultimate effective control over a legal person or arrangement. Intermediaries have been asked to comply with following guidelines:

Please find below the type of BO and criteria applicable.

Type of beneficial Owner	Criteria
Company (Un-listed)	Holds more than 25% of shares or capital or profits of the Client
Partnership	Having more than 15% of the capital or profits of the Client
An unincorporated association or body of individuals or HUF	Having more than 15% of the property or capital or profits of the Client
Trust	Settler of the trust, the trustee, the protector, the beneficiaries with 15% or more interest in the trust and any other natural person exercising ultimate effective control over the trust through a chain of control or ownership.


- In case no beneficial owner is identified as given above then the person who exercises control through other means i.e. by voting rights, agreement and arrangements or in any other manner shall be called a BO.
- Where no natural person is identified under aforesaid clauses then the natural person who holds the position of senior managing official shall be termed a BO.

Kindly provide below mentioned details of the BOs; individual/non-individual/Partner/Karta/Trustee etc.

**FOR CLIENT'S USE:**

I/we confirm the below mentioned details to be correct and that I/we will be solely responsible for any incorrect information provided herein.

Type of BO	Name of BO	PAN of BO	Address of BO

 6  
\_\_\_\_\_  
Client's stamp & signature of authorized signatory

## **POWER OF ATTORNEY IN FAVOUR OF LKP SECURITIES LTD.**

**(ON STAMP PAPER OF ₹ 100/-)**

This Power of Attorney (POA) is made by the persons mentioned in the Schedule 1 in favour of "LKP SECURITIES LTD.", a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at 203, Embassy Centre, Nariman Point, Mumbai - 400 021 (hereinafter referred to as 'LKP', an expression deemed to mean and include its successors and assigns)

WHEREAS LKP Securities Ltd. is a member of the National Stock Exchange of India Ltd. ("NSE") (bearing SEBI Regn. nos. INB/INF/INE230720030 on the Capital Market, F&O and Currency Derivatives Segments respectively), BSE Limited ("BSE") (bearing SEBI Regn. nos. INB/INF010675433 on the Capital Market and F&O Segments respectively) and Metropolitan Stock Exchange of India Ltd. (MSEI) (bearing SEBI Regn. nos. INB/INF/INE260720030 on the Capital Market, F&O and Currency Derivatives Segments respectively).

AND WHEREAS LKP Securities Ltd. is a Depository Participant with the Central Depository Services (India) Limited (CDSL) having SEBI Regn. no. IN-DP-CDSL-206-2003.

AND WHEREAS LKP Securities Ltd. is registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Regn. no. ARN 31751.

AND WHEREAS I / We wish to avail / I/We am/are a client availing of the services offered by LKP and has entered into necessary Mandatory & Voluntary Client Registration Documents with LKP for transacting in securities with/ without On-Line trading / E-broking & web based facilities and / or services through its website [www.lkpsec.com](http://www.lkpsec.com) or any other website used for offering said Services. Details of my / our Trading and Demat account with LKP are provided in Schedule 1 AND WHEREAS for facilitating smooth operations of the said services being availed from LKP by me / us, I / we am/are desirous of appointing an attorney and confer upon it powers hereinafter stated.

NOW THESE PRESENTS WITNESS that I / we, do hereby, jointly and severally nominate, constitute and appoint "LKP Securities Ltd." being a Stock Broker and Depository Participant registered with Securities and Exchange Board of India ("SEBI") acting through any of its directors, officers and / or agents, as my/ our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me / us, in my / our name and on my / our behalf and at my / our risk and costs to do, exercise and perform all or any of the following acts, deeds and things:

1. To instruct the Depository Participant, being LKP to transfer securities held in my/our beneficial owner /demat account as provided in Schedule 2 or such other demat account as may be intimated by me/us to LKP from time to time ("client designated demat accounts") to such demat account of LKP as provided in Schedule 2 and / or designated by LKP and

intimated to me from time to time ("LKP designated demat account") towards stock exchange related margin / delivery / pay-in obligations arising out of trades executed by me/us through LKP on any Stock Exchange in any segment including cash, F&O and currency derivatives segments.

2. To make application and / or issue instruction for creation / invocation / closure of pledge on the securities/units held in my / our client designated demat accounts in favour of LKP for the limited purpose of meeting the margin requirements in connection with the trades executed by me / us through LKP on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
3. To credit my/our client designated demat accounts with any securities that are to be delivered to me/us / borrowed by me/us.
4. Generally to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments for and delivery of securities arising out of transactions undertaken by me / us under the Mandatory & Voluntary Client Registration Documents are duly and properly completed.
5. Pursuant to my/our instruction, to make necessary applications on my/our behalf to any officials or authorities in India, including but not limited to, the Central Government, and/or the Reserve Bank Of India, Income Tax Authority, Stock Exchanges, Securities and Exchange Board of India in connection with my/our purchase/sale/transfer holding and continuing to hold securities, and to represent me in all respects before such authority/ies and establish without encumbrance the ownership of securities in my name.
6. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non-convertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments including usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.

7

8

1<sup>st</sup> H

6

2<sup>nd</sup> H

x 6

3<sup>rd</sup> H

15

7. Pursuant to my/our instruction or instruction of my/our Authorised Representative as per applicable laws, rules & regulations of SEBI & exchange(s), to apply for various products like Mutual Funds, Public issues of securities including debentures, rights, offer of shares, tendering shares in open offers etc.
8. Pursuant to my/our instruction or instruction of my/our Authorised Representative as per applicable laws, rules & regulations of SEBI & exchange(s), to acquire by subscribing to or by purchase of securities or any other investment products and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and / or any other investment products including but not limited to Initial Public Offerings, Further Public Offerings, Buy Back Offers, Right Issues either through internet using identification number issued by any Authority from time to time or otherwise, and/or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds and / or otherwise as may be required to deal in the securities or other investment products.
9. Pursuant to my/our instruction or instruction of my/our Authorised Representative as per applicable laws, rules & regulations of SEBI & exchange(s), to make applications for or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any Company/ Body/Authority and to receive and hold such rights or additional shares bonds or debentures.
10. To issue orders and instructions for acquisitions and disposal of investments for and on behalf of myself/ourselves and to purchase or otherwise acquire, sell or otherwise dispose off and invest in securities.
11. To sign the necessary forms and other documents if any and to file the same with the company/ies and / or Mutual Fund concerned for purchase, sell, redemption or otherwise transfer of such securities/ units of Mutual Funds and transferring it in my/our name.
12. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/issuer of Investment Product.
13. To receive statements and other documents pertaining to the above units/securities and to acknowledge receipt of the same.
14. To do all such acts and things as may be necessary to effect the subscription/purchase/redemption or any other transaction in any securities and / or Investment Product for which services are availed from LKP.
15. To debit the purchase price of such securities or any other lawful fees/charges etc. due to LKP and to discharge all obligation in this regard on my/our behalf to LKP, in my account with LKP Securities Ltd.
16. To operate and to give delivery/receive instructions, borrowing and lending instructions, pledge instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of client designated demat account(s) or towards the obligation for transactions done through LKP on NSE, BSE, MSEI and any other Exchange, under my/our instructions.
17. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
18. To square off at its discretion my/our position of transactions that are not delivery marked during the day.
19. To demand, receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonus or any other sum(s) and/or income arising from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend/interest warrants or certificates, receive all debts, sums of money, principal, interest, dividend or other dues of whatever nature or account which are now or at any time due and payable and belong to me/ us.
20. For the purpose of the aforesaid to sign contracts, agreements, transfers, acceptances, receipts, or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/authorities or department(s) and to do all such lawful acts requisite for effecting the same.
21. To correspond with and give notice to the corresponding Asset Management Company/Body Corporate/ Registrar & Transfer Agent of securities.
22. To comply and /or cause to be complied with all statutory and other requirements attached to or arising out of these premises and for these purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.
23. To send consolidated summary of my / our scrip wise buy and sell positions taken with average rates by way of SMS / e-mail at my / our registered mobile no. / email id as provided by me / us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
24. To arrange to return to me / us the securities that may have been received by LKP erroneously or those securities that LKP is not entitled to receive from me / us.

25. For all or any of the purpose aforesaid to appoint from time to time a client representative as per applicable laws, rules & regulations of SEBI and exchange(s) and to revoke such representation but so that the appointment of any such representative shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointments.
26. To do or omit to do all such acts and things as LKP may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.
27. My/Our Attorney LKP shall not be liable for any loss that may result from failure/inability of electronic connectivity or rejection of my/our application for any reason beyond its control.
28. My/our Attorney LKP shall not be liable for any transaction processed on the basis of information provided by LKP to the issuers / owners of securities or investment products in the applications or otherwise based on the information provided by me / us.
29. To receive intimation from the Exchange/RTA/Company/ Bank/DP or any other party regarding the allocation/ allotment/rejection/regret of the securities or such other "Investment Product" applications / subscriptions/withdrawal or any other communications.
30. I/we agree that LKP is entitled to credit the refund amount on account of application rejection due to whatsoever reason in the designated bank account.
31. I/We agree that LKP shall return to me/us, the securities or funds that may have been received by it erroneously or those securities or fund that it was not entitled to receive from me/us.

AND I/We hereby agree that LKP shall exercise such powers and authorities conferred under the above Power of Attorney only pursuant to the instructions in that behalf given by me/us or my/our approved Authorised Representative, which may be given orally, over the telephone, through the internet, electronically or in any other manner acceptable to LKP and such instructions shall be deemed to have been given by me/us in respect of the clauses explicitly mentioned therein not otherwise.

AND I /We hereby agree that all such acts done by my/our above mentioned attorney shall be deemed to be acts done by me/us and if necessary shall be ratified by me/us on the instructions of the said attorney.

I / we may revoke this Power of Attorney at any time by giving notice to LKP in writing at below mentioned address and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents.

LKP Securities Ltd.  
13th Floor, Raheja Center  
Free Press Road, Nariman Point  
Mumbai - 400 021

The revocation shall be subject to due receipt, verification and processing of the same by LKP.

I/we hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other lawful charges & expenses till the date of revocation due to the Attorney as per its records are paid/ cleared in full.

This document shall be subject to the jurisdiction of the Courts in West Bengal.

Made and executed at \_\_\_\_\_

on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_.

### Schedule 1

First / Sole Holder (Trading Account Client)	<input checked="" type="checkbox"/> 10 <input checked="" type="checkbox"/> 12		
Second Holder	<input checked="" type="checkbox"/> 9		
Third Holder	<input checked="" type="checkbox"/> 9		
Trading Account No. / Client ID			
Demat Account No.			

9  
 10 \_\_\_\_\_  8 \_\_\_\_\_  8 \_\_\_\_\_

**Schedule 2**

Client Designated Demat Account Nos.


LKP Designated Demat Account Nos. :





DP Name : **LKP SECURITIES LTD.**

DPID : CLIENT ID	DPID :CLIENT ID
IN300011-10004177	IN301330-18828273
1203000000002836	1203000000110432
1203000000018124	1203000000004696
IN300888-20662091	IN300888-14917704
1203000000002821	1203000000110447
1203000000002568	1203000000388590
1203000000002840	IN300095-11440476
1203000000005592	1100001000014352 ,1100001100015580




IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein above written.

Name

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_

-  10 \_\_\_\_\_
-  11 \_\_\_\_\_
-  9 \_\_\_\_\_
-  9 \_\_\_\_\_

In the presence of :

Witnesses 	
1. Name	Signature  2a
Address	
2. Name	Signature  2b
Address	

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

For LKP Securities Ltd.

 3

Authorised Signatory

Date :

- ❖ In case the Power of Attorney is executed by HUF account, all members should sign above.
- ❖ The POA signed by the client shall be binding on the client only in respect of the clauses explicitly mentioned therein not otherwise.

For INDIVIDUAL /HUF/LLP

VOLUNTARY

DATE : \_\_\_\_\_

To  
LKP SECURITIES LTD.  
203, Embassy Centre  
Nariman Point  
Mumbai – 400 021

Dear Sirs,

**Subject : Authority Ltter for Dealing**

I (individual) / We (Huf/Partners/LLP) \_\_\_\_\_  
do hereby give our consent that the aforesaid viz. 1. \_\_\_\_\_,  
2. \_\_\_\_\_ would operate & execute above  
mentioned BO id/trading account and execute order on my/our behalf of and deal on  National Stock Exchange  
of India Ltd.,  BSE Ltd. and  Metropolitan Stock Exchange of India Ltd., and any dealing actions done on my/  
our behalf by above mentioned person/s shall be acceptable to me/us subject to the Bye Laws, Rules and  
Regulations of the Exchanges from time to time.

We further confirm that the authorised person can jointly / severally issue instruction to you as our broker for  
securities trades, fund, etc. and to do all such acts, deals and things as may be necessary for the purpose of  
operating this account.


The Specimen Signature of the Authorised person is given below:

Specimen signature in full \_\_\_\_\_

I/We further state that LKP shall not be responsible for any act, dealing done by the aforesaid Authorised person.

Thanking you,

Yours faithfully,

Signature  12 \_\_\_\_\_

Name \_\_\_\_\_

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

To

**VOLUNTARY**

**LKP SECURITIES LTD.**

203, Embassy centre, Nariman Point

Mumbai - 400 021

**Unique Client Code No.** \_\_\_\_\_

**Ref : Authority letter for adjustment of funds and shares across all segments and maintaining running account**

Respected Sir,

I/We \_\_\_\_\_ have entered into Mandatory & Voluntary Client Registration Documents/ Rights and obligations sheet prescribed for trading on NSE, MSEI and BSE and investing in primary market products. Pursuant to completion of registration formalities I/we wish to commence trading on:

BSE  NSE  MSEI  all segments including Mutual Fund  Primary Market products.

I/We hereby willfully and unconditionally issue following standing instructions with reference to personal discussion between us for my/our operational convenience.

I / we will make payments to you for bills raised by you. I/we am/are agreeable for maintaining running account and instruct you that no Cheque / Shares be issued to me / us towards credit balance in my account, unless specifically demanded by me / us and only to the extent of amount demanded by me / us.

I / we are agreeable that the unencumbered credit balance of funds and shares etc. lying in my/our account be treated as margin across the segments and products that I/we have registered for and also allowed to be transferred towards adjustment of any debit balance in my/our account.

I / we am / are agreeable for utilization of unencumbered balance lying in my/our account to be utilized while applying for Primary market products etc. as authorized by me/us.

I / we am / are agreeable for inter-settlement transfer of securities towards pay-in/pay-out of securities in the future /past settlements.

I / we am / are agreeable for and authorise you to withheld funds pay-out towards all the applicable margins and debits.

I/We authorize LKP to retain an amount up to Rs 10,000 (consolidated amount across segment and across stock exchanges wherever I/we am/are registered with you) for settlement of funds and securities of that respective traded quarter/month in context of NSE circular no. NSE/INSP/24849 dated 29.10.2013, BSE notice no. 20131029-15 dated 29.10.2013 and MSEI circular no. 1552 dated 30.10.2013.

To debit my /our any account(s) towards monies/fees/charges etc. by virtue of my/our using/subscribing to any of the facilities/ services provided to me or sought by me/us.

I authorize LKP to sett off / adjust my debit balance in the demat account with the credit balance lying in trading account as and when the debit arises in the Demat account.

I shall inform LKP in writing if there is any change in my email id. I also have noted that the digital contracts would be available to me on www.lkpsec.com.

This authority can be revoked by me / us at any point of time.

In case of any wrong entry flowing into any wrong account due to mistake on the part of me/us (client), LKP Securities Ltd shall not accept any responsibility /consequences relating thereto. Rejection/Deactivation of facility of payout of funds through Net Banking EFT/RTGS/NEFT etc. to me/us (client) at the discretion of the LKP Securities Ltd.

LKP Shall not bear any responsibility of any system failure or payment not being credited /delayed /reflected in the client's account due to any technical or any other reason beyond its control.



As regards the placement of orders, although you had insisted on written instruction for placing orders, considering the practical difficulties faced by me / us in complying the same, I / we would request you to accept orders placed orally on telephone.

I am aware that the above mentioned points are voluntary and I have an authority to set aside or revoke any of them anytime whenever I want to. These standing instructions are valid from the date the account is opened and will be valid until revoked. I/We instruct you to settle my account on monthly basis  or quarterly basis  (Strike out whichever is not applicable).

I have read, received and understood Rights & obligations sheet, policies and Risk disclosure documents prescribed by Exchange.

Thanking You,

Yours Faithfully,

Signature of the client  13 /  11

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



## Undertaking for Online and Offline

**VOLUNTARY**

To  
**LKP SECURITIES LTD.**  
203, Embassy centre  
Nariman Point  
Mumbai - 400 021

Dear Sir,

1. I/we, \_\_\_\_\_, have read and understood terms related to online account operation including rules and regulations, as more elaborately contained in Rights and Obligations sheet provided in KYC. Accordingly, I/we hereby request you to open my online account.
2. However, I/we may place order / trade in any manner as per my/our convenience - through online or off-line mode - either verbally or in writing.
3. I/we agree that any change in operation / mode of said account from offline to online or vice versa will not affect my/our liabilities and obligations towards LKP Securities Ltd. I/we shall be liable for satisfactory completion of all transactions/trades/dealings/orders executed in my/our account.
4. I/we also have noted that the digital contract note would also be available to me on [www.lkpsec.com](http://www.lkpsec.com).

Yours Faithfully,

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

## Authority Letter for Investment Products\*

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

To  
**LKP SECURITIES LTD.**  
203, Embassy centre  
Nariman point  
Mumbai - 400 021

Dear Sir/Madam,

I, \_\_\_\_\_ having PAN no. \_\_\_\_\_ hereby authorize  
Mr./Ms/ M/s \_\_\_\_\_ bearing address as \_\_\_\_\_  
\_\_\_\_\_ to acquire by subscribing to or purchase  
of any investment product including but not limited to units of Mutual Funds, Initial Public Offerings, Follow on Public Offering and such related products and to sell/ transfer/ endorse/ pledge/ redeem or otherwise deal in such products as it may deem fit. LKP Securities Ltd. is hereby authorized to act on instruction of the above-mentioned person/entity. All such acts carried out by LKP shall be final and binding on me. LKP shall not be held responsible and be kept indemnified for all such transactions carried out in my account.

Yours Faithfully,

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\_\_\_\_\_  
Signature

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

\* **Authorised person should be as per applicable laws, rules & regulations**

**MFSS (MUTUAL FUND) FACILITY ACTIVATION****VOLUNTARY**

To

**LKP SECURITIES LTD.**

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

Dear Sir,

**SUB: MFSS (MUTUAL FUND) FACILITY ACTIVATION**

I/We \_\_\_\_\_ am/are registered as your client with Client Code No. \_\_\_\_\_ and have executed the Rights and Obligations of stock brokers sub-brokers and client for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. / BSE Limited.

I/We am/are interested in availing the facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with. For the purpose of availing the facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose and I/we further confirm that the details contained in same remain unchanged as on date.

I/We am/are willing to abide by the terms and conditions as mentioned in the SEBI circular no SEBI/IMD/CIR No. 11/ 183204/2009 dated November 13, 2009, Exchange circular no NSE/MFSS/003/2009 dated November 24, 2009 and any other related circulars issued from time to time by the Exchange, SEBI, AMFI and other regulators. I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

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

I/We therefore request you to register me/us as your client for participating in the \_\_\_\_\_ ( please specify MFSS / BSE Star MF).

**Details of terms & conditions for the Investor / Client for using New MFSS facility**

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

I have read and understood the above and I agree to abide by the same.

Signature \_\_\_\_\_ 14  
 \_\_\_\_\_ 16

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**Registered Office address :**

203 Embassy Centre, Nariman Point, Mumbai - 400 021

Phone : (022) 2282-8234, Fax : (022) 2282-2415

E.mail : [info@lkpsec.com](mailto:info@lkpsec.com), Website : [www.lkpsec.com](http://www.lkpsec.com)

CIN : U67120MH1994PLC080039

**Correspondence Office address :**

13th Floor, Raheja Center, Free Press Road

Nariman Point, Mumbai - 400 021

Phone : (022) 6635-1234, Fax : (022) 6635-1249

**Compliance Officer Name, Phone No. & email ID :**

Ms.Neha Malviya, (022) 6635-1234, [neha\\_malviya@lkpsec.com](mailto:neha_malviya@lkpsec.com)

**CEO Name, Phone No. & email ID :**

Mr. Pratik M Doshi, (022) 6635-1234, [pratik\\_doshi@lkpsec.com](mailto:pratik_doshi@lkpsec.com)

For any grievance/dispute, please contact **LKP SECURITIES LTD.** at the above address or E.mail : [helpdesk@lkpsec.com](mailto:helpdesk@lkpsec.com) / [grievances@lkpsec.com](mailto:grievances@lkpsec.com) and Phone : (022) 6635-1234. In case not satisfied with the response, please contact the concerned exchange(s) at [ignse@nse.co.in](mailto:ignse@nse.co.in) and Phone No. (022) 2659-8190 for NSE, at [is@bseindia.com](mailto:is@bseindia.com), Phone No. (022) 2272-8097 for BSE and at [investorcomplaints@msei.in](mailto:investorcomplaints@msei.in) and Phone No. (022) 6112-9000 (Ext. 9028) for MSEI.

For any help contact our helpdesk team - [helpdesk@lkpsec.com](mailto:helpdesk@lkpsec.com) and for more information login to LKP Boss.

## ACKNOWLEDGEMENT FOR THE RECEIPT OF DOCUMENTS

From :

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

To  
**LKP SECURITIES LTD.**  
203, Embassy centre  
Nariman Point  
Mumbai - 400 021

### Ref. : Acknowledgement for the receipt of Mandatory & Voluntary Client Registration Documents

Dear Sir,

This is to acknowledge the receipt of a copy of the duly executed following documents viz.,

1. Copy of KYC Form
2. Copy of Rights and Obligations of stock broker, sub-broker and client & DP
3. Copy of Risk Disclosure Document
4. Copy of Guidance Note
5. Copy of Policies & Procedures
6. Copy of Tariff / Brokerage Charge Sheet
7. A copy of any other voluntary document executed by me as a client

I/we hereby declare that I/we have the full intimation of the trading code and the unique client code allotted to me/us and the email id for the purpose of receiving electronic contract notes.

I / We am/are also aware of the fact that LKP does not guarantee and shall not be deemed to have guaranteed the timeliness, sequence, accuracy, completeness, reliability or content of the market information or messages, disseminated to the client. LKP does not guarantee any fixed return or capital guarantee on the investment, since return on investment in stock market is subject to various risks and dynamics.

Thanking you,

Yours truly,

\_\_\_\_\_  \_\_\_\_\_  \_\_\_\_\_  
Sole / First Holder                      Second holder                      Third Holder

 \_\_\_\_\_  
Authorised Signatory

**Registered Office :**

203 Embassy Centre, Nariman Point, Mumbai - 400 021

Phone : (022) 2282-8234, Fax : (022) 2282-2415

E.mail : [info@lkpsec.com](mailto:info@lkpsec.com), Website : [www.lkpsec.com](http://www.lkpsec.com)

CIN : U67120MH1994PLC080039