

Annexure - 1
ACCOUNT OPENING KIT
INDEX OF DOCUMENTS

MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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		B. Additional KYC Form for Opening a Demat Account	15-20
		C. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	21-23
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Name of stock broker/trading member/ clearing member: : LSC Securities Limited
(Formerly Known as L.S.E. Securities Limited)

CIN No. : U67120CH2000PLC023244

SEBI Registration No. and Date : (INZ000081836) 15th September, 2016

Trading cum Clearing Member : NSE (CM and F&O), BSE (CM)

Trading Member : NSE (CD), BSE (F&O), MSEI (CD)

Clearing Member : IL & FS Securities Services Limited
: NSE (CD), BSE (F&O), MSEI (CD)
: CM Code C50008
: Sebi Regn. No. INE231308334
: Address IL & FS House, Raheja Vihar, Chadivilli Andheri (East),
Mumbai-400072
: Phone No. Board (022) 28570965 Direct (022) 28471472-75

Depository Participant : NSDL(IN301846) & CDSL (25400) , SEBI Regn. No. IN-DP-202-2016

Regd. Office : SCO 50, 1st Floor, Sector 34-A, Chandigarh.

Phone No. : 0172-5065460

Fax : 0172-5065460

Website : www.lse.co.in

Corporate Office : 1st Floor, LSE Building, Feroze Gandhi Market,
Ludhiana-141001 (Punjab)

Phone No. : 0161-4612317, 5068131

Fax : 0161-3011157, 5068138

Website : www.lse.co.in

Compliance Officer : Mr. Shiv Ram Mishra

Phone No. : 0161-4612317 Extn. 147

E-mail ID : compliance@lssl.com

CEO/CGM : Mr. Pritpal Singh

E-mail ID : cgm@lssl.com

Phone No. : 0161-2401918 Extn. 101

For any grievance/dispute please contact stock broker LSC SECURITIES LIMITED at the above address or email is : igc@lssl.com at Phone No. 0161-4612317
Extn : 134, ignse@nse.co.in at Phone No. 022-26598173, iscdelhi@bseindia.com at Phone No. 011-43007413/14/15/16, investorcomplaints@msei.in
In case not satisfied with the response, please contact LSC Securities Limited at cgm@lssl.com at 0161-2401918, Extn. 102.

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

- Passport
 Ration Card
 Registered Lease/Sale Agreement of Residence
 Driving Licence
 Voter Identity Card
 * Latest Bank A/c Statement/Passbook
 *Latest Telephone Bill (only Land Line)
 * Latest Gas Bill
 Others _____

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** |d|d| / |m|m| / |y|y|y|y|

DECLARATION

I hereby declare that the details furnished above are true and correct to the best of my/our 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/we are aware that I/we may be held liable for it.

Place : _____ Date : _____

SIGNATURE OF APPLICANT

x

FOR OFFICE USE ONLY

IPV Done on |d|d| / |m|m| / |y|y|y|y|

AMC/Intermediary name **OR** code

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

LSC SECURITIES LIMITED
(Formerly Known as L.S.E. SECURITIES LIMITED)

Staff Name.....
 Designation.....
 Signature.....
 Date.....

LSC SECURITIES LIMITED
(Formerly Known as L.S.E. SECURITIES LIMITED)

Staff Name.....
 Designation.....
 Signature.....
 Date.....

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS :

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case of 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 entitles, 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, photography of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.

11. Politically Exposed Persons (P) 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. PAN card with photograph. This is a mandatory requirement for all applicants except those who are physically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving Licence.
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 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 Bank/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, fls, 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 attested 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.

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

- *Latest Telephone Bill (only Land Line) *Latest Electricity Bill *Latest Bank Account Statement
 Registered Lease / Sale Agreement of Office Premises
 Any other proof of address document (as listed overleaf) _____

*Not more than 3 Months old. **Validity/Expiry date of proof of address submitted** | d | d | / | m | m | / | y | y | y | y |

(c) Other Details

1. Name, PAN, Residential Address and Photographs of Promoters/Partners/Karta//Trustees and whole time Directors

2. a) DIN of whole time Directors : _____

b) Aadhaar Number of Promoters/Partners/Karta : _____

DECLARATION

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

**NAME & SIGNATURE (S)
OF AUTHORISED
PERSON (S)**

x

x

Place : _____ Date : _____

FOR OFFICE USE ONLY

AMC/Intermediary name **OR** code

(Originals Verified) Self Certified Document copies received

(Attested) True copies of documents received

LSC SECURITIES LIMITED
(Formerly Known as L.S.E. SECURITIES LIMITED)

Staff Name.....

Designation.....

Signature.....

Date.....

Details of Promoters/Partners/Karta/Trustees and whole time directors forming a part of Know Your Client (KYC) Application for Non-Individuals

Name of Applicant _____ PAN of the Applicant _____

Sr. No.	PAN	Name	DIN (For Directors)/ UID (For Others)	Residential/ Registered Address	Relationship with Applicant (i.e. promoters, whole time directors etc.)	Whether Politically Exposed	Photograph
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	
						<input type="checkbox"/> PEP <input type="checkbox"/> RPEP <input type="checkbox"/> NO	

X

Name & Signature of the Authorised Signatory(ies) Date | d | d / | m | m / | y | y | y | y **PEP :Politically Exposed Person RPEP: Related to Politically Exposed Person**

FORMAT OF BOARD RESOLUTION IN CASE OF CORPORATES/ TRUSTS

Certified true copy of the Resolution passed at the meeting of the Board of Directors/ Trustees/ of _____ and having its Registered Office at _____ held on _____ day of _____ 20____ at _____ a.m./ p.m.

RESOLVED THAT the Company/Trust be registered as CLIENT with LSC Securities Limited, Members of the Stock Exchange Mumbai (BSE), National Stock Exchange of India (NSE) and/or Metropolitan Stock Exchange of India (MSEI) for the purpose of dealing in securities including Currency Derivatives and any one of following is authorized to act and instruct on behalf of Company for the purpose of registration.

Sr. No.	Name	Designation
1		
2		
3		
4		
5		
6		

“RESOLVED FURTHER THAT Mr./ Ms _____ and/or Mr./ Ms _____, Directors/ Trustees / Employee of Company / Trust are authorized to comply with all Legal & procedural formalities and execute, sign & submit required documents, writings, undertakings, agreements & deeds as may be deemed necessary for KYC application with KRA and LSC Securities Limited be and hereby authorized to honour instructions oral / written given on behalf of the Company / Trust by Authorised Signatory(ies) to give effect to this resolution and to sell, purchase, transfer, endorse, negotiate and/or otherwise deal in securities.

AND RESOLVED FURTHER THAT, the Common Seal of the Company be affixed, wherever necessary, in the presence of any Director or any one of the Directors and Company Secretary who shall sign the same in token of their presence”.

For _____
(Name of the Company/ Trust)

Chairman/ Company Secretary/ All Trustees

Specimen Signatures of the Authorized Persons

Sr. No.	Name	Specimen Signatures

The above signatures to be attested by the person signing the resolution for account opening on behalf of the Company/ Trust.

LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana - 141 001.

REG:- DETAIL OF SHARE HOLDING IN CASE OF CORPORATES

We are giving below the detail of Share-Holding of _____ as
(Name of the company)
on _____
(Date)

Sr. No.	Name of the Share-Holder	Number of Shares held	Value of Shares held	% of Share-holding

(Please attach separate sheet, if required)

We also undertake to inform the changes, if any, in the share holding of the company to the LSC Securities Limited from time to time

Place :

x

Date :

Signature of the Client With rubber stamp

LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana - 141 001.

REG:- DETAIL OF COPARCENER IN CASE OF HUF

We are giving below the detail of Coparcener of _____ as
(Name of HUF)
on _____
(Date)

Sr. No.	Name of the Coparcener	Date of Birth	Residential Address	Relation with Karta

We also undertake to inform the changes, if any, in the detail of coparcener of HUF to the LSC Securities Limited from time to time

Place :

x

Date :

Signature of the Client With rubber stamp

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

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

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

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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 entitles, 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, photography of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are physically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar) / Passport / Voter ID card / Driving Licence.
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 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 Bank/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, flls, 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 attested 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.

LSC SECURITIES LIMITED

(Formerly Known as L.S.E. SECURITIES LIMITED)

Regd. Off. : 1st Floor, SCO 50, Sec. 34 A, Chandigarh. Ph. : 0172-5065459 Fax : 0172-5065460

Corp. Off. : 1st Floor, LSE Building, Feroze Gandhi Market, Ludhiana - 141 001.

Ph. : 0161-4612317, 2405756, 5068137 Fax : 0161-5068138 Web. : www.lse.co.in E-mail : lsesldp@gmail.com, igc@lsei.com

SEBI Reg. No. IN-DP-202-2016

CIN No. : U67120CH2000PLC023244

FORM - 9

PART II - ACCOUNT OPENING FORM

(For Individuals)

Participant Name (DP ID - IN301846)	Client -ID (To be filled by Participant)

I/We request you to open a depository account in my/our name as per the following details: (Please fill all the details in CAPITAL LETTERS only)

Date

D D M M 2 0 Y Y

A) Details of Account holder(s):

Account holder (s)	Sole/First Holder	Second Holder	Third Holder			
Name						
PAN						
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Agriculturist
	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Retired
	<input type="checkbox"/> Govt. Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Govt. Service	<input type="checkbox"/> Housewife	<input type="checkbox"/> Govt. Service	<input type="checkbox"/> Housewife
	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student	<input type="checkbox"/> Business	<input type="checkbox"/> Student
	<input type="checkbox"/> Professional	Others, (please specify) _____	<input type="checkbox"/> Professional	Others, (please specify) _____	<input type="checkbox"/> Professional	Others, (please specify) _____

Brief Details

B) For HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should mentioned below :

a) Name		b) PAN	
---------	--	--------	--

C) Type of account

<input type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI-Repatriable	<input type="checkbox"/> NRI-Non
<input type="checkbox"/> Qualified Foreign Investor	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Repatriable
<input type="checkbox"/> Margin	<input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Promoter

D) Gross Annual Income Details

Income Range per annum (please tick any one)		
<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"/> More than ₹ 25 Lac	

E) In case of NRIs/Foreign Nationals

RBI Approval Reference Number	
RBI Approval Date	D D M M Y Y Y Y

F) Bank Details

1	Bank Account Type <input type="checkbox"/> Saving Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____
2	Bank Account Number
3	Bank Name

Signature 1 x

4	Branch Address										
		City/Town/Village					Pin Code				
		State					Country				
5	MICR Code										
6	IFSC										

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

H) **Standing Instrucitons**

1	I/We authorise you to receive credits automatically into my/our account.	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
2	Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

3 **SMS Alert Facility** : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]

Sr. No.	Holder	Yes	No
1	Sole/First Holder	✓	
2	Second Holder		
3	Third Holder		

4	Mode of receiving statement of Account and Rights & Obligation of Beneficial Owner [tick any one]	<input type="checkbox"/> Physical Form
		<input type="checkbox"/> Electronic Form [Read Note 4 and ensure that email ID is provided in KYC Application Form].

I hereby declare that the aforesaid mobile number or E-mail ID belongs to Me or My Family (spouse, dependent children and dependent parents)

I) **Guardian Details** (where sole holder is a minor)
[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]

Guardian Name										
PAN										
Relationship of guardian with minor										

J) **Nomination Option**

I/we wish to make a nomination. [As per details given below] I/We do not wish to make a Nomination [Strike off the nomination details below]

Nomination Details

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

Nomination can be made upto three nominees in the account		Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1	Name of the nominee(s) (Mr./Ms.)			
2	Share of each Nominee Equally <input type="checkbox"/>			
	[If not equally, please specify percentage]	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				

Signature 2 x

FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION - DECLARATION FORM

Is your Country of Tax Residency OTHER THAN INDIA - Yes / No

If "Yes", please specify the details of all countries where you [Entity] hold tax residency and its Tax Identification Number & type

Sr. No	Country of Tax Residency#	Tax Payer Identification Number / Functional Equivalent Identification Number	Number/ Company Identification or Global Entity	Identification Type [TIN or other, please specify]

Declaration

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations and FATCA-CRS Declaration Form. I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Names(s) of holder(s)	Signature(s) of holder
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)	3 X
Second Holder (Mr./Ms.)	X
Third Holder (Mr./Ms.)	X

NOTES :

- All communication shall be sent at the address of the Sole/First holder only.
- Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
- Instructions related to nomination, are as below :**
 - The nomination can be made only by individuals holding beneficiary owner accounts on their behalf singly or jointly. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly all joint holders will sign the nomination form.
 - A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
 - Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
 - The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non-individuals including society, trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
 - Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
 - On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
 - Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
 - Savings bank account details shall only be considered if the account is maintained with the same participant.
 - DP ID and Client ID shall be provided where demat details is required to be provided.
- For receiving Statement of Account in electronic form :**
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- Strike off whichever is not applicable.**

DP ID : IN301846

Acknowledgment

CIN No. : U67120CH2000PLC023244

**LSC SECURITIES LIMITED, Feroze Gandhi Market, Ludhiana.
(Formerly Known as L.S.E. Securities Limited)**

Received the application from Mr/Ms.....as the sole/first holder alongwith and..... as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date :

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

Participant Stamp & Signature

Declaration for Availing of Basic Services Demat Account (BSDA) Facility

With reference to my / our application for opening a depository account, I/We request you to open my/our depository account as per the following details :

I/We wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.

I/We do not wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.

	Name	PAN									
Sole/First Holder											
Second Holder											
Third Holder											

I/We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time. I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility from time to time. I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.I, the first / Sole holder also hereby declare that I do not have / propose to have any other demat account across depositories as a first / sole holder.

H 1st x _____ H 2nd x _____ H 3rd x _____
 4 Sole / First Holder Second Holder Third Holder

SCHEDULE - A SCHEDULE OF SERVICE CHARGES (NSDL) (INCLUDING SERVICE TAX) APPLICABLE Pick the Relevant Option

Sr. No.	Heads	Option-I <input type="checkbox"/>	Option-II <input type="checkbox"/>	Option-III <input type="checkbox"/>	Option-IV For BSDA <input type="checkbox"/>
1.	Application Charges	Nil	Nil	Nil	Nil
2.	Security Deposit (Refundable on closure but not earlier than expiry of one year)	Nil	Nil	Individual - Rs. 4000	Nil
3.	Account Maintenance Charges	Individual - Rs. 250 Corporate - Rs. 3500 (For one year)	Individual - Rs. 850 (For Individual only) For Life Time	Nil	"NIL up to 50,000 Value of shares holding & For the value of holding from Rs 50,001 to Rs 200,000. AMC Rs 100 will be charged. "
4.	Dematerialization	Rs. 2 Per Certificate	Rs. 5 Per Certificate	Rs. 2 Per Certificate	Rs. 10 per Certificate
5.	Rematerialisation	Rs. 20 Per Certificate or Rs. 10 Per 100 Shares or Securities which ever is higher	Rs. 40 Per Certificate or Rs. 15 Per 100 Shares or Securities which ever is higher	Rs. 20 Per Certificate or Rs. 10 Per 100 Shares or Securities which ever is higher	Rs 40/- PER Certificate & Rs. 15 per 100 Shares or Securities Which Ever is Higher Rs. 50 for courier
6.	Market Transfers	Rs. 13 per Instruction	Rs. 20 per Instruction	Rs. 13 per Instruction	Rs. 30 per Instruction
7.	Pledge Creation	Rs. 50 per Instruction	Rs. 100 per Instruction	Rs. 50 per Instruction	Rs. 50 per Instruction
8.	Pledge Closure	Rs. 25 per Instruction	Rs. 50 per Instruction	Rs. 25 per Instruction	Rs. 50 per Instruction
9.	Closure / Invocation	Rs. 25 per Instruction	Rs. 25 per Instruction	Rs. 25 per Instruction	Rs. 50 per Instruction
10.	Reissue of DIS Booklet	Rs. 10 per Instruction No charges for 1 st Book-let	Rs. 30 per Instruction No charges for 1 st Book-let	Rs. 10 per Instruction No charges for 1 st Book-let	Rs. 30 per Instruction
11.	Other Charges	Courier Charges for Demat + Remat is Rs. 30	Courier Charges for Demat + Remat is Rs. 30	Courier Charges for Demat + Remat is Rs. 30	Courier Charges for Demat + Remat is Rs. 50
12.	Address Change	Nil	Nil	Nil	Rs. 100 per Instruction
13.	Holding	Nil	Nil	Nil	Rs. 20 after 2 request

NOTE : Rs. 500 will be charged as AMC in 1st Year. Subsequently if BO is registered with sub broker of LSC Securities Ltd. . LSC SECURITIES LIMITED within same financial year of opening of DP Account Rs. 250 will be credited to client's Demat A/c. (At Head Office Only). In Option - I.

1st X _____
 5 Sole/First Holder Signature

2nd X _____
 Second Holder Signature

3rd X _____
 Third Holder Signature

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars / Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charges structure as laid down under the relevant SEBI and/or Depository circulars/ directions/ notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization.

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and/or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Account, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial

Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the beneficial Owner held with another DP or to rematerialize the security balances held.

18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of the demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.
23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, 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.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by the SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be application to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and or SEBI.
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

"I/we acknowledge the receipt of copy of document, "Rights and Obligations of the Beneficial Owner and Depository Participant".

Signatures 6 x _____ x _____ x _____
 Sole / First Holder Second Holder Third Holder

Place: _____ DATE: _____

Annexure - 3

TRADING ACCOUNT RELATED DETAILS

Other Details for individuals (please see guidelines overleaf)

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

Below ₹1 Lac ₹1-5 Lac ₹5-10 Lac ₹10-25 Lac >₹ 25 Lacs

OR

Net-worth in ₹ .(*Net worth should be older than 1 year) _____ as on (dates) |d|d| / |m|m| / |y|y|y|y|

2. Occupation (Please tick (✓) any one and give brief details):

Private Sector Service Public Sector Government Service Business Professional
 Agriculturist Retired Housewife Student Forex Dealer
 Others (Please specify) _____

3. Please tick, if applicable : Politically Exposed Person Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information: _____

Other Details for non-individuals (please see guidelines overleaf)

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

Below ₹1 Lac ₹1-5 Lac ₹5-10 Lac ₹10-25 Lac ₹ 25 Lacs-1 Crore > ₹ 1 Crore

2. Net-worth in ₹ .(*Net worth should be older than 1 year) _____ as on (date) |d|d| / |m|m| / |y|y|y|y|

3. Is the entity involved/providing any of the following services YES NO

- For Foreign Exchange / Money Changer Services YES NO
 - Gaming / Gambling / Lottery Services (e.g. casinos, betting syndicates) YES NO
 - Money Lending / Pawning YES NO

4. Please tick, if applicable, for any of your authorized Signatories/Promoters/Partners/Karta/Turtees/Whole time directors : Politically Exposed Person (PEOP) / Related to a Politically Exposed Person (PEP)

5. Any other information : _____

A. BANK ACCOUNT(S) DETAILS

For Individuals & Non-individuals

Bank Name	Bank Account No.	Account Type: Saving/Current/ Others-In case of NRI/NRE/NRO	MICR Number	IFSC code
Branch Address				
Branch Address				

B. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)

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	Signature of the client		
NSE-Cash	(X)	Mutual Fund	Sig. of Client
NSE F&O	(X)		
NSE CD	(X)		
BSE-Cash	(X)		
BSE F&O	(X)		
MSEI	(X)		

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: SEBI Registration number:
Sub-broker's Name: SEBI Registration number:
Registered office address:
Ph: Fax: Website:
- 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:
 - In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:
 - Any other information:
- *Physical contract note will be provided as per policy prescribed.

G. INTRODUCER DETAILS (optional)

Name of the Introducer:
(Surname) (Name) (Middle Name)
Status of the Introducer: Sub-broker/Remisier/Authorized Person/Existing Client/Others, please specify.....
Address and phone no. of the Introducer:
Signature of the Introducer:

H. NOMINATION DETAILS (for individuals only)

I/We wish to nominate I/We do not wish to nominate
Name of the Nominee: Relationship with the Nominee:
PAN of Nominee: Date of Birth of Nominee:
Address and phone no. of the Nominee:

If Nominee is a minor, details of guardian:
Name of guardian: Address and phone no. of Guardian:
Signature of guardian

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

(1) Name.....	(2) Name.....
Address.....	Address.....
Signature.....	Signature.....

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Guidance Notes - do's and don'ts'. 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.....

([ⓧ].....)
Signature of Client/(all) Authorized Signatory (ies)

FOR OFFICE USE ONLY

UCC Code allotted to the Client :

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

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

.....
Signature of the Authorised Signatory

For LSC Securities Limited

Date.....

Auth. Signatory

INSTRUCTIONS/CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list: (anyone of the following)

Copy of ITR Acknowledgement <input type="checkbox"/>	Copy of Annual Accounts <input type="checkbox"/>
In case of Salary Income - Salary Slip, Copy of Form 16 <input type="checkbox"/>	Net worth certificate <input type="checkbox"/>
Copy of Demat Account Holding Statement <input type="checkbox"/>	Bank Account statement for last 6 months <input type="checkbox"/>
Any other relevant documents substantiating ownership of assets <input type="checkbox"/>	Self declaration with relevant supporting documents. <input type="checkbox"/>

**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:
- 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.
 - 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:
- Form need to be initialized by all the authorized signatories.
 - 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.

(.....)
Name of the Sub-Broker/Authorized Person

(.....)
Name and Designation of Head Official

(.....)
Signature of the Sub-Broker/Authorized Person

(.....)
Signature of Head Office Official

Annexure - 4

RIGHTS AND OBLIGATIONS OF STOCK BROKERS, SUB-BROKERS AND CLIENTS as prescribed by SEBI and Stock Exchanges

1. The client shall invest/trade in those securities/contracts/other instruments admitted to dealings on the Exchanges as defined in the Rules, Byelaws and Regulations of Exchanges/ Securities and Exchange Board of India (SEBI) and circulars/notices issued there under from time to time.
2. The stock broker, sub-broker and the client shall be bound by all the Rules, Byelaws and Regulations of the Exchange and circulars/notices issued there under and Rules and Regulations of SEBI and relevant notifications of Government authorities as may be in force from time to time.
3. The client shall satisfy itself of the capacity of the stock broker to deal in securities and/or deal in derivatives contracts and wishes to execute its orders through the stock broker and the client shall from time to time continue to satisfy itself of such capability of the stock broker before executing orders through the stock broker.
4. The stock broker shall continuously satisfy itself about the genuineness and financial soundness of the client and investment objectives relevant to the services to be provided.
5. The stock broker shall take steps to make the client aware of the precise nature of the Stock broker's liability for business to be conducted, including any limitations, the liability and the capacity in which the stock broker acts.
6. The sub-broker shall provide necessary assistance and co-operate with the stock broker in all its dealings with the client(s).

CLIENT INFORMATION

7. The client shall furnish all such details in full as are required by the stock broker in "Account Opening Form" with supporting details, made mandatory by stock exchanges/SEBI from time to time.
8. The client shall familiarize himself with all the mandatory provisions in the Account Opening documents. Any additional clauses or documents specified by the stock broker shall be non-mandatory, as per terms & conditions accepted by the client.
9. The client shall immediately notify the stock broker in writing if there is any change in the information in the 'account opening form' as provided at the time of account opening and thereafter; including the information on winding up petition/insolvency petition or any litigation which may have material bearing on his capacity. The client shall provide/update the financial information to the stock broker on a periodic basis.
10. The stock broker and sub-broker shall maintain all the details of the client as mentioned in the account opening form or any other information pertaining to the client, confidentially and that they shall not disclose the same to any person/authority except as required under any law/regulatory requirements. Provided however that the stock broker may so disclose information about his client to any person or authority with the express permission of the client.

MARGINS

11. The client shall pay applicable initial margins, withholding margins, special margins or such other margins as are considered necessary by the stock broker or the Exchange or as may be directed by SEBI from time to time as

applicable to the segment(s) in which the client trades. The stock broker is permitted in its sole and absolute discretion to collect additional margins (even though not required by the Exchange, Clearing House/Clearing Corporation or SEBI) and the client shall be obliged to pay such margins within the stipulated time.

12. The client understands that payment of margins by the client does not necessarily imply complete satisfaction of all dues. In spite of consistently having paid margins, the client may, on the settlement of its trade, be obliged to pay (or entitled to receive) such further sums as the contract may dictate/require.

TRANSACTIONS AND SETTLEMENTS

13. The client shall give any order for buy or sell of a security/derivatives contract in writing or in such form or manner, as may be mutually agreed between the client and the stock broker. The stock broker shall ensure to place orders and execute the trades of the client, only in the Unique Client Code assigned to that client.
14. The stock broker shall inform the client and keep him apprised about trading/settlement cycles, delivery/payment schedules, any changes therein from time to time, and it shall be the responsibility in turn of the client to comply with such schedules/procedures of the relevant stock exchange where the trade is executed.
15. The stock broker shall ensure that the money/securities deposited by the client shall be kept in a separate account, distinct from his/its own account or account of any other client and shall not be used by the stock broker for himself/itself or for any other client or for any purpose other than the purposes mentioned in Rules, Regulations, circulars, notices, guidelines of SEBI and/or Rules, Regulations, Bye-laws, circulars and notices of Exchange.
16. Where the Exchange(s) cancels trade(s) suo moto all such trades including the trade/s done on behalf of the client shall ipso facto stand cancelled, stock broker shall be entitled to cancel the respective contract(s) with client(s).
17. The transactions executed on the Exchange are subject to Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges where the trade is executed and all parties to such trade shall have submitted to the jurisdiction of such court as may be specified by the Byelaws and Regulations of the Exchanges where the trade is executed for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchanges and the circulars/notices issued thereunder.

BROKERAGE

18. The Client shall pay to the stock broker brokerage 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 stock broker renders to the Client. The stock broker shall not charge brokerage more than the maximum brokerage permissible as per the rules, regulations and bye-laws of the relevant stock exchanges and/or rules and regulations of SEBI.

LIQUIDATION AND CLOSE OUT OF POSITION

19. Without prejudice to the stock broker's other rights (including the right to refer a matter to arbitration), the client understands that the stock broker shall be entitled to liquidate/close out all or any of the client's positions for non-payment of margins or other amounts, outstanding debts, etc. and adjust the proceeds of such liquidation/close out, if any, against the client's liabilities/obligations. Any and all losses and financial charges on account of such liquidation/closing-out shall be charged to and borne by the client.
20. In the event of death or insolvency of the client or his/its otherwise becoming incapable of receiving and paying for or delivering or transferring securities which the client has ordered to be bought or sold, stock broker may close out the

transaction of the client and claim losses, if any, against the estate of the client. The client or his nominees, successors, heirs and assignee shall be entitled to any surplus which may result there from. The client shall note that transfer of funds/securities in favor of a Nominee shall be valid discharge by the stock broker against the legal heir.

21. The stock broker shall bring to the notice of the relevant Exchange the information about default in payment/delivery and related aspects by a client. In case where defaulting client is a corporate entity/partnership/proprietary firm or any other artificial legal entity, then the name(s) of Director(s)/Promoter(s)/Partner(s)/Proprietor as the case may be, shall also be communicated by the stock broker to the relevant Exchange(s).

DISPUTE RESOLUTION

22. The stock broker shall provide the client with the relevant contact details of the concerned Exchanges and SEBI.
23. The stock broker shall co-operate in redressing grievances of the client in respect of all transactions routed through it and in removing objections for bad delivery of shares, rectification of bad delivery, etc.
24. The client and the stock broker shall refer any claims and/or disputes with respect to deposits, margin money, etc., to arbitration as per the Rules, Byelaws and Regulations of the Exchanges where the trade is executed and circulars/notices issued thereunder as may be in force from time to time.
25. The stock broker shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between him vis-à-vis the client and he shall be liable to implement the arbitration awards made in such proceedings.
26. The client/stock-broker understands that the instructions issued by an authorized representative for dispute resolution, if any, of the client/stock-broker shall be binding on the client/stock-broker in accordance with the letter authorizing the said representative to deal on behalf of the said client/stock-broker.

TERMINATION OF RELATIONSHIP

27. This relationship between the stock broker and the client shall be terminated; if the stock broker for any reason ceases to be a member of the stock exchange including cessation of membership by reason of the stock broker's default, death, resignation or expulsion or if the certificate is cancelled by the Board.
28. The stock broker, sub-broker and the client shall be entitled to terminate the relationship between them without giving any reasons to the other party, after giving notice in writing of not less than one month to the other parties. Notwithstanding any such termination, all rights, liabilities and obligations of the parties arising out of or in respect of transactions entered into prior to the termination of this relationship shall continue to subsist and vest in/be binding on the respective parties or his/its respective heirs, executors, administrators, legal representatives or successors, as the case may be.
29. In the event of demise/insolvency of the sub-broker or the cancellation of his/its registration with the Board or/withdrawal of recognition of the sub-broker by the stock exchange and/or termination of the agreement with the sub broker by the stock broker, for any reason whatsoever, the client shall be informed of such termination and the client shall be deemed to be the direct client of the stock broker and all clauses in the 'Rights and Obligations' document(s) governing the stock broker, sub-broker and client shall continue to be in force as it is, unless the client intimates to the stock broker his/its intention to terminate their relationship by giving a notice in writing of not less than one month.

ADDITIONAL RIGHTS AND OBLIGATIONS

30. The stock broker shall ensure due protection to the client regarding client's rights to dividends, rights or bonus shares,

etc. in respect of transactions routed through it and it shall not do anything which is likely to harm the interest of the client with whom and for whom they may have had transactions in securities.

31. The stock broker and client shall reconcile and settle their accounts from time to time as per the Rules, Regulations, Bye Laws, Circulars, Notices and Guidelines issued by SEBI and the relevant Exchanges where the trade is executed.
32. The stock broker shall issue a contract note to his constituents for trades executed in such format as may be prescribed by the Exchange from time to time containing records of all transactions including details of order number, trade number, trade time, trade price, trade quantity, details of the derivatives contract, client code, brokerage, all charges levied etc. and with all other relevant details as required therein to be filled in and issued in such manner and within such time as prescribed by the Exchange. The stock broker shall send contract notes to the investors within one working day of the execution of the trades in hard copy and/or in electronic form using digital signature.
33. The stock broker shall make pay out of funds or delivery of securities, as the case may be, to the Client within one working day of receipt of the payout from the relevant Exchange where the trade is executed unless otherwise specified by the client and subject to such terms and conditions as may be prescribed by the relevant Exchange from time to time where the trade is executed.
34. The stock broker shall send a complete 'Statement of Accounts' for both funds and securities in respect of each of its clients in such periodicity and format within such time, as may be prescribed by the relevant Exchange, from time to time, where the trade is executed. The Statement shall also state that the client shall report errors, if any, in the Statement within such time as may be prescribed by the relevant Exchange from time to time where the trade was executed, from the receipt thereof to the Stock broker.
35. The stock broker shall send daily margin statements to the clients. Daily Margin statement should include, inter-alia, details of collateral deposited, collateral utilized and collateral status (available balance/due from client) with break up in terms of cash, Fixed Deposit Receipts (FDRs), Bank Guarantee and securities.
36. The Client shall ensure that it has the required legal capacity to, and is authorized to, enter into the relationship with stock broker and is capable of performing his obligations and undertakings hereunder. All actions required to be taken to ensure compliance of all the transactions, which the Client may enter into shall be completed by the Client prior to such transaction being entered into.

ELECTRONIC CONTRACT NOTES (ECN)

37. In case, client opts to receive the contract note in electronic form, he shall provide an appropriate e-mail id to the stock broker. The client shall communicate to the stock broker any change in the email-id through a physical letter. If the client has opted for internet trading, the request for change of email id may be made through the secured access by way of client specific user id and password.
38. The stock broker shall ensure that all ECNs sent through the e-mail shall be digitally signed, encrypted, non-tamper able and in compliance with the provisions of the IT Act, 2000. In case, ECN is sent through e-mail as an attachment, the attached file shall also be secured with the digital signature, encrypted and non-tamperable.
39. The client shall note that non-receipt of bounced mail notification by the stock broker shall amount to delivery of the contract note at the e-mail ID of the client.
40. The stock broker shall retain ECN and acknowledgement of the e-mail in a soft and non-tamperable form in the manner prescribed by the exchange in compliance with the provisions of the IT Act, 2000 and as per the extant

rules/regulations/circulars/guidelines issued by SEBI/Stock Exchanges from time to time. The proof of delivery i.e., log report generated by the system at the time of sending the contract notes shall be maintained by the stock broker for the specified period under the extant regulations of SEBI/stock exchanges. The log report shall provide the details of the contract notes that are not delivered to the client/e-mails rejected or bounced back. The stock broker shall take all possible steps to ensure receipt of notification of bounced mails by him at all times within the stipulated time period under the extant regulations of SEBI/stock exchanges.

41. The stock broker shall continue to send contract notes in the physical mode to such clients who do not opt to receive the contract notes in the electronic form. Wherever the ECNs have not been delivered to the client or has been rejected (bouncing of mails) by the e-mail ID of the client, the stock broker shall send a physical contract note to the client within the stipulated time under the extant regulations of SEBI/stock exchanges and maintain the proof of delivery of such physical contract notes.
42. In addition to the e-mail communication of the ECNs to the client, the stock broker shall simultaneously publish the ECN on his designated web-site, if any, in a secured way and enable relevant access to the clients and for this purpose, shall allot a unique user name and password to the client, with an option to the client to save the contract note electronically and/or take a print out of the same.

LAW AND JURISDICTION

43. In addition to the specific rights set out in this document, the stock broker, sub-broker and the client shall be entitled to exercise any other rights which the stock broker or the client may have under the Rules, Bye-laws and Regulations of the Exchanges in which the client chooses to trade and circulars/notices issued thereunder or Rules and Regulations of SEBI.
44. The provisions of this document shall always be subject to Government notifications, any rules, regulations, guidelines and circulars/notices issued by SEBI and Rules, Regulations and Bye laws of the relevant stock exchanges, where the trade is executed, that may be in force from time to time.
45. The stock broker and the client shall abide by any award passed by the Arbitrator(s) under the Arbitration and Conciliation Act, 1996. However, there is also a provision of appeal within the stock exchanges, if either party is not satisfied with the arbitration award.
46. Words and expressions which are used in this document but which are not defined herein shall, unless the context otherwise requires, have the same meaning as assigned thereto in the Rules, Byelaws and Regulations and circulars/notices issued thereunder of the Exchanges/SEBI.
47. All additional voluntary clauses/document added by the stock broker should not be in contravention with rules/regulations/notices/circulars of Exchanges/SEBI. Any changes in such voluntary clauses/document(s) need to be preceded by a notice of 15 days. Any changes in the rights and obligations which are specified by Exchanges/SEBI shall also be brought to the notice of the clients.
48. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant stock Exchanges where the trade is executed, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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(Client Signature)

INTERNET & WIRELESS TECHNOLOGY BASED TRADING FACILITY PROVIDED BY STOCK BROKERS TO CLIENT

(All the clauses mentioned in the 'Rights and Obligations' document(s) shall be applicable. Additionally, the clauses mentioned herein shall also be applicable.)

1. Stock broker is eligible for providing Internet based trading (IBT) and securities trading through the use of wireless technology that shall include the use of devices such as mobile phone, laptop with data card, etc. which use Internet Protocol (IP). The stock broker shall comply with all requirements applicable to internet based trading/securities trading using wireless technology as may be specified by SEBI & the Exchanges from time to time.
2. The client is desirous of investing/trading in securities and for this purpose, the client is desirous of using either the internet based trading facility or the facility for securities trading through use of wireless technology. The Stock broker shall provide the Stock broker's IBT Service to the Client, and the Client shall avail of the Stock broker's IBT Service, on and subject to SEBI/Exchanges Provisions and the terms and conditions specified on the Stock broker's IBT Web Site provided that they are in line with the norms prescribed by Exchanges/SEBI.
3. The stock broker shall bring to the notice of client the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/internet/smart order routing or any other technology should be brought to the notice of the client by the stock broker.
4. The stock broker shall make the client aware that the Stock Broker's IBT system itself generates the initial password and its password policy as stipulated in line with norms prescribed by Exchanges/SEBI.
5. The Client shall be responsible for keeping the Username and Password confidential and secure and shall be solely responsible for all orders entered and transactions done by any person whosoever through the Stock broker's IBT System using the Client's Username and/or Password whether or not such person was authorized to do so. Also the client is aware that authentication technologies and strict security measures are required for the internet trading/securities trading through wireless technology through order routed system and undertakes to ensure that the password of the client and/or his authorized representative are not revealed to any third party including employees and dealers of the stock broker
6. The Client shall immediately notify the Stock broker in writing if he forgets his password, discovers security flaw in Stock Broker's IBT System, discovers/suspects discrepancies/ unauthorized access through his username/password/account with full details of such unauthorized use, the date, the manner and the transactions effected pursuant to such unauthorized use, etc.
7. The Client is fully aware of and understands the risks associated with availing of a service for routing orders over the internet/securities trading through wireless technology and Client shall be fully liable and responsible for any and all acts done in the Client's Username/password in any manner whatsoever.
8. The stock broker shall send the order/trade confirmation through email to the client at his request. The client is aware that the order/ trade confirmation is also provided on the web portal. In case client is trading using wireless technology, the stock broker shall send the order/trade confirmation on the device of the client.
9. The client is aware that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. are susceptible to interruptions and dislocations. The Stock broker and the Exchange do not make any representation or warranty that the Stock broker's IBT Service will be available to the Client at all times without any interruption.
10. The Client shall not have any claim against the Exchange or the Stock broker on account of any suspension, interruption, non-availability or malfunctioning of the Stock broker's IBT System or Service or the Exchange's service or systems or non-execution of his orders due to any link/system failure at the Client/Stock brokers/Exchange end for any reason beyond the control of the stock broker/Exchanges.

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(Client Signature)

Annexure - 5

RISK DISCLOSURE DOCUMENT FOR CAPITAL MARKET AND DERIVATIVES SEGMENTS

This document contains important information on trading in Equities/Derivatives Segments of the stock exchanges. All prospective constituents should read this document before trading in Equities/Derivatives Segments of the Exchanges.

Stock exchanges/SEBI does neither singly or jointly and expressly nor impliedly guarantee nor make any representation concerning the completeness, the adequacy or accuracy of this disclosure document nor have Stock exchanges /SEBI endorsed or passed any merits of participating in the trading segments. This brief statement does not disclose all the risks and other significant aspects of trading.

In the light of the risks involved, you should undertake transactions only if you understand the nature of the relationship into which you are entering and the extent of your exposure to risk.

You must know and appreciate that trading in Equity shares, derivatives contracts or other instruments traded on the Stock Exchange, which have varying element of risk, is generally not an appropriate avenue for someone of limited resources/limited investment and/or trading experience and low risk tolerance. You should therefore carefully consider whether such trading is suitable for you in the light of your financial condition. In case you trade on Stock exchanges and suffer adverse consequences or loss, you shall be solely responsible for the same and Stock exchanges/its Clearing Corporation and/or SEBI shall not be responsible, in any manner whatsoever, for the same and it will not be open for you to take a plea that no adequate disclosure regarding the risks involved was made or that you were not explained the full risk involved by the concerned stock broker. The constituent shall be solely responsible for the consequences and no contract can be rescinded on that account. You must acknowledge and accept that there can be no guarantee of profits or no exception from losses while executing orders for purchase and/or sale of a derivative contract being traded on Stock exchanges.

It must be clearly understood by you that your dealings on Stock exchanges through a stock broker shall be subject to your fulfilling certain formalities set out by the stock broker, which may inter alia include your filling the know your client form, reading the rights and obligations, do's and don'ts, etc., and are subject to the Rules, Byelaws and Regulations of relevant Stock exchanges, its Clearing Corporation, guidelines prescribed by SEBI and in force from time to time and Circulars as may be issued by Stock exchanges or its Clearing Corporation and in force from time to time.

Stock exchanges does not provide or purport to provide any advice and shall not be liable to any person who enters into any business relationship with any stock broker of Stock exchanges and/or any third party based on any information contained in this document. Any information contained in this document must not be construed as business advice. No consideration to trade should be made without thoroughly understanding and reviewing the risks involved in such trading. If you are unsure, you must seek professional advice on the same.

In considering whether to trade or authorize someone to trade for you, you should be aware of or must get acquainted with the following:-

1. BASIC RISKS:

1.1 Risk of Higher Volatility:

Volatility refers to the dynamic changes in price that a security/derivatives contract undergoes when trading activity continues on the Stock Exchanges. Generally, higher the volatility of a security/derivatives contract, greater is its price swings. There may be normally greater volatility in thinly traded securities / derivatives contracts than in active securities /derivatives contracts. As a result of volatility, your order may only be partially executed or not executed at all, or the price at which your order got executed may be substantially different from the last traded price or change substantially thereafter, resulting in notional or real losses.

1.2 Risk of Lower Liquidity:

Liquidity refers to the ability of market participants to buy and/or sell securities / derivatives contracts expeditiously at a

competitive price and with minimal price difference. Generally, it is assumed that more the numbers of orders available in a market, greater is the liquidity. Liquidity is important because with greater liquidity, it is easier for investors to buy and/or sell securities / derivatives contracts swiftly and with minimal price difference, and as a result, investors are more likely to pay or receive a competitive price for securities / derivatives contracts purchased or sold. There may be a risk of lower liquidity in some securities / derivatives contracts as compared to active securities / derivatives contracts. As a result, your order may only be partially executed, or may be executed with relatively greater price difference or may not be executed at all.

1.2.1 Buying or selling securities / derivatives contracts as part of a day trading strategy may also result into losses, because in such a situation, securities / derivatives contracts may have to be sold / purchased at low / high prices, compared to the expected price levels, so as not to have any open position or obligation to deliver or receive a security / derivatives contract.

1.3 Risk of Wider Spreads:

Spread refers to the difference in best buy price and best sell price. It represents the differential between the price of buying a security / derivatives contract and immediately selling it or vice versa. Lower liquidity and higher volatility may result in wider than normal spreads for less liquid or illiquid securities / derivatives contracts. This in turn will hamper better price formation.

1.4 Risk-reducing orders:

The placing of orders (e.g., "stop loss" orders, or "limit" orders) which are intended to limit losses to certain amounts may not be effective many a time because rapid movement in market conditions may make it impossible to execute such orders.

1.4.1 A "market" order will be executed promptly, subject to availability of orders on opposite side, without regard to price and that, while the customer may receive a prompt execution of a "market" order, the execution may be at available prices of outstanding orders, which satisfy the order quantity, on price time priority. It may be understood that these prices may be significantly different from the last traded price or the best price in that security / derivatives contract.

1.4.2 A "limit" order will be executed only at the "limit" price specified for the order or a better price. However, while the customer receives price protection, there is a possibility that the order may not be executed at all.

1.4.3 A stop loss order is generally placed "away" from the current price of a stock / derivatives contract, and such order gets activated if and when the security / derivatives contract reaches, or trades through, the stop price. Sell stop orders are entered ordinarily below the current price, and buy stop orders are entered ordinarily above the current price. When the security / derivatives contract reaches the pre -determined price, or trades through such price, the stop loss order converts to a market/limit order and is executed at the limit or better. There is no assurance therefore that the limit order will be executable since a security / derivatives contract might penetrate the pre-determined price, in which case, the risk of such order not getting executed arises, just as with a regular limit order.

1.5 Risk of News Announcements:

News announcements that may impact the price of stock / derivatives contract may occur during trading, and when combined with lower liquidity and higher volatility, may suddenly cause an unexpected positive or negative movement in the price of the security / contract.

1.6 Risk of Rumors:

Rumors about companies / currencies at times float in the market through word of mouth, newspapers, websites or news agencies, etc. The investors should be wary of and should desist from acting on rumors.

1.7 System Risk:

High volume trading will frequently occur at the market opening and before market close. Such high volumes may also occur at any point in the day. These may cause delays in order execution or confirmation.

1.7.1 During periods of volatility, on account of market participants continuously modifying their order quantity or prices or

placing fresh orders, there may be delays in order execution and its confirmations.

1.7.2 Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security / derivatives contract due to any action on account of unusual trading activity or security / derivatives contract hitting circuit filters or for any other reason.

1.8 System/Network Congestion:

Trading on exchanges is in electronic mode, based on satellite/leased line based communications, combination of technologies and computer systems to place and route orders. Thus, there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, or any such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond control and may result in delay in processing or not processing buy or sell orders either in part or in full. You are cautioned to note that although these problems may be temporary in nature, but when you have outstanding open positions or unexecuted orders, these represent a risk because of your obligations to settle all executed transactions.

2. As far as Derivatives segments are concerned, please note and get yourself acquainted with the following additional features:-

2.1 Effect of "Leverage" or "Gearing":

In the derivatives market, the amount of margin is small relative to the value of the derivatives contract so the transactions are 'leveraged' or 'geared'. Derivatives trading, which is conducted with a relatively small amount of margin, provides the possibility of great profit or loss in comparison with the margin amount. But transactions in derivatives carry a high degree of risk.

You should therefore completely understand the following statements before actually trading in derivatives and also trade with caution while taking into account one's circumstances, financial resources, etc. If the prices move against you, you may lose a part of or whole margin amount in a relatively short period of time. Moreover, the loss may exceed the original margin amount.

A. Futures trading involve daily settlement of all positions. Every day the open positions are marked to market based on the closing level of the index / derivatives contract. If the contract has moved against you, you will be required to deposit the amount of loss (notional) resulting from such movement. This amount will have to be paid within a stipulated time frame, generally before commencement of trading on next day.

B. If you fail to deposit the additional amount by the deadline or if an outstanding debt occurs in your account, the stock broker may liquidate a part of or the whole position or substitute securities. In this case, you will be liable for any losses incurred due to such close-outs.

C. Under certain market conditions, an investor may find it difficult or impossible to execute transactions. For example, this situation can occur due to factors such as illiquidity i.e. when there are insufficient bids or offers or suspension of trading due to price limit or circuit breakers etc.

D. In order to maintain market stability, the following steps may be adopted: changes in the margin rate, increases in the cash margin rate or others. These new measures may also be applied to the existing open interests. In such conditions, you will be required to put up additional margins or reduce your positions.

E. You must ask your broker to provide the full details of derivatives contracts you plan to trade i.e. the contract specifications and the associated obligations.

2.2 Currency specific risks:

1. The profit or loss in transactions in foreign currency-denominated contracts, whether they are traded in your own or another jurisdiction, will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

2. Under certain market conditions, you may find it difficult or impossible to liquidate a position. This can occur, for example when a currency is deregulated or fixed trading bands are widened.

3. Currency prices are highly volatile. Price movements for currencies are influenced by, among other things: changing supply-demand relationships; trade, fiscal, monetary, exchange control programs and policies of governments; foreign political and economic events and policies; changes in national and international interest rates and inflation; currency devaluation; and sentiment of the market place. None of these factors can be controlled by any individual advisor and no assurance can be given that an advisor's advice will result in profitable trades for a participating customer or that a customer will not incur losses from such events.

2.3 Risk of Option holders:

1. An option holder runs the risk of losing the entire amount paid for the option in a relatively short period of time. This risk reflects the nature of an option as a wasting asset which becomes worthless when it expires. An option holder who neither sells his option in the secondary market nor exercises it prior to its expiration will necessarily lose his entire investment in the option. If the price of the underlying does not change in the anticipated direction before the option expires, to an extent sufficient to cover the cost of the option, the investor may lose all or a significant part of his investment in the option.

2. The Exchanges may impose exercise restrictions and have absolute authority to restrict the exercise of options at certain times in specified circumstances.

2.4 Risks of Option Writers:

1. If the price movement of the underlying is not in the anticipated direction, the option writer runs the risks of losing substantial amount.

2. The risk of being an option writer may be reduced by the purchase of other options on the same underlying interest and thereby assuming a spread position or by acquiring other types of hedging positions in the options markets or other markets. However, even where the writer has assumed a spread or other hedging position, the risks may still be significant. A spread position is not necessarily less risky than a simple 'long' or 'short' position.

3. Transactions that involve buying and writing multiple options in combination, or buying or writing options in combination with buying or selling short the underlying interests, present additional risks to investors. Combination transactions, such as option spreads, are more complex than buying or writing a single option. And it should be further noted that, as in any area of investing, a complexity not well understood is, in itself, a risk factor. While this is not to suggest that combination strategies should not be considered, it is advisable, as is the case with all investments in options, to consult with someone who is experienced and knowledgeable with respect to the risks and potential rewards of combination transactions under various market circumstances.

3. TRADING THROUGH WIRELESS TECHNOLOGY/ SMART ORDER ROUTING OR ANY OTHER TECHNOLOGY:

Any additional provisions defining the features, risks, responsibilities, obligations and liabilities associated with securities trading through wireless technology/ smart order routing or any other technology should be brought to the notice of the client by the stock broker.

4. GENERAL

4.1 The term 'constituent' shall mean and include a client, a customer or an investor, who deals with a stock broker for the purpose of acquiring and/or selling of securities / derivatives contracts through the mechanism provided by the Exchanges.

4.2 The term 'stock broker' shall mean and include a stock broker, a broker or a stock broker, who has been admitted as such by the Exchanges and who holds a registration certificate from SEBI.

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(Client Signature)

Annexure - 6

GUIDANCE NOTE - DO's AND DON'Ts FOR TRADING ON THE EXCHANGE(S) FOR INVESTORS

BEFORE YOU BEGIN TO TRADE

1. Ensure that you deal with and through only SEBI registered intermediaries. You may check their SEBI registration certificate number from the list available on the Stock exchanges www.lse.co.in, www.nseindia.com, www.bseindia.com, www.msei.in and SEBI website www.sebi.gov.in
2. Ensure that you fill the KYC form completely and strike off the blank fields in the KYC form.
3. Ensure that you have read all the mandatory documents viz. Rights and Obligations, Risk Disclosure Document, Policy and Procedure document of the stock broker.
4. Ensure to read, understand and then sign the voluntary clauses, if any, agreed between you and the stock broker. Note that the clauses as agreed between you and the stock broker cannot be changed without your consent.
5. Get a clear idea about all brokerage, commissions, fees and other charges levied by the broker on you for trading and the relevant provisions/ guidelines specified by SEBI/Stock exchanges.
6. Obtain a copy of all the documents executed by you from the stock broker free of charge.
7. In case you wish to execute Power of Attorney (POA) in favour of the Stock broker, authorizing it to operate your bank and demat account, please refer to the guidelines issued by SEBI/Exchanges in this regard.

TRANSACTIONS AND SETTLEMENTS

8. The stock broker may issue electronic contract notes (ECN) if specifically authorized by you in writing. You should provide your email id to the stock broker for the same. Don't opt for ECN if you are not familiar with computers.
9. Don't share your internet trading account's password with anyone.
10. Don't make any payment in cash to the stock broker.
11. Make the payments by account payee cheque in favour of the stock broker. Don't issue cheques in the name of sub-broker. Ensure that you have a documentary proof of your payment/deposit of securities with the stock broker, stating date, scrip, quantity, towards which bank/ demat account such money or securities deposited and from which bank/ demat account.
12. Note that facility of Trade Verification is available on stock exchanges' websites, where details of trade as mentioned in the contract note may be verified. Where trade details on the website do not tally with the details mentioned in the contract note, immediately get in touch with the Investors Grievance Cell of the relevant Stock exchange.
13. In case you have given specific authorization for maintaining running account, payout of funds or delivery of securities (as the case may be), may not be made to you within one working day from the receipt of payout from the Exchange. Thus, the stock broker shall maintain running account for you subject to the following conditions:
 - a) Such authorization from you shall be dated, signed by you only and contains the clause that you may revoke the same at any time.
 - b) The actual settlement of funds and securities shall be done by the stock broker, at least once in a calendar quarter or month, depending on your preference. While settling the account, the stock broker shall send to you a 'statement of accounts' containing an extract from the client ledger for funds and an extract from the register of securities displaying all the receipts/deliveries of funds and securities. The statement shall also explain the retention of funds and securities and the details of the pledged shares, if any.
 - c) On the date of settlement, the stock broker may retain the requisite securities/funds towards outstanding obligations and may also retain the funds expected to be required to meet derivatives margin obligations for next 5 trading days,

calculated in the manner specified by the exchanges. In respect of cash market transactions, the stock broker may retain entire pay-in obligation of funds and securities due from clients as on date of settlement and for next day's business, he may retain funds/securities/margin to the extent of value of transactions executed on the day of such settlement in the cash market.

- d) You need to bring any dispute arising from the statement of account or settlement so made to the notice of the stock broker in writing preferably within 7 (seven) working days from the date of receipt of funds/securities or statement, as the case may be. In case of dispute, refer the matter in writing to the Investors Grievance Cell of the relevant Stock exchanges without delay.
14. In case you have not opted for maintaining running account and pay-out of funds/securities is not received on the next working day of the receipt of payout from the exchanges, please refer the matter to the stock broker. In case there is dispute, ensure that you lodge a complaint in writing immediately with the Investors Grievance Cell of the relevant Stock exchange.
15. Please register your mobile number and email id with the stock broker, to receive trade confirmation alerts/ details of the transactions through SMS or email, by the end of the trading day, from the stock exchanges.

IN CASE OF TERMINATION OF TRADING MEMBERSHIP

16. In case, a stock broker surrenders his membership, is expelled from membership or declared a defaulter; Stock exchanges gives a public notice inviting claims relating to only the "transactions executed on the trading system" of Stock exchange, from the investors. Ensure that you lodge a claim with the relevant Stock exchanges within the stipulated period and with the supporting documents.
17. Familiarize yourself with the protection accorded to the money and/or securities you may deposit with your stock broker, particularly in the event of a default or the stock broker's insolvency or bankruptcy and the extent to which you may recover such money and/or securities may be governed by the Bye-laws and Regulations of the relevant Stock exchange where the trade was executed and the scheme of the Investors' Protection Fund in force from time to time.

DISPUTES / COMPLAINTS

18. Please note that the details of the arbitration proceedings, penal action against the brokers and investor complaints against the stock brokers are displayed on the website of the relevant Stock exchange.
19. In case your issue/problem/grievance is not being sorted out by concerned stock broker/sub-broker then you may take up the matter with the concerned Stock exchange. If you are not satisfied with the resolution of your complaint then you can escalate the matter to SEBI.
20. Note that all the stock broker/sub-brokers have been mandated by SEBI to designate an e-mail ID of the grievance redressal division/compliance officer exclusively for the purpose of registering complaints.
21. Contact Detail:- Investor Grievance Cell
NSE: www.nse-investorhelpline.com
BSE: iscdelhi@bseindia.com
MSEI: investorcomplaints@msei.in

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(Client Signature)

POLICIES AND PROCEDURES OF THE STOCK BROKER

a. PENNY STOCKS

A Client will be allowed to trade in Penny Stocks i.e. Trade to Trade shares which fall in Z category and are being traded at value less than its face value, up to Rs. 1 Lakh per day with out any restriction or prohibition but in case value to be traded is more than Rs. 1 Lakh per day then 100% margin is to be deposited prior to trade.

b. CLIENT'S EXPOSURE LIMIT

In Cash Segments exposure limits of branches will be set by the Company on the basis of deposits available and client exposure limits will be set by branches.

In F&O and Currency Segments, exposure available to Clients will be based on Upfront Margins and deposits available with LSC Securities Limited.

c. BROKERAGE RATE

Brokerage to be charged inclusive of transactions charges but exclusive of Statutory Levies and subject to maximum brokerage permissible as per the rules, regulations of the Exchanges and SEBI.

d. SELLING/CLOSING OF THE CLIENTS' POSITION WITHOUT PRIOR INTIMATION TO THE CLIENT

LSC Securities Limited reserves the right (without affecting right to impose penalties as pointed out in point e) to sell the securities and close out positions of the clients without giving notice to the client, if there is a default in payment of dues, limited to the extent of debit obligations whether of pay-in or margin.

e. IMPOSITION OF PENALTY/DELAYED PAYMENT CHARGES :

Any amounts which are overdue from the Client and / or Member of the Client's family on account of any reason to the Member broker and or to any of the Member Broker's group/associate company(ies), without prejudice to the other rights of the Member Brokers the client will be charged with delayed payment charges at the rate of 1.5% per month or such other rates as may be determined by the Member Broker. The Client hereby authorizes the Member Broker to directly debit the same to the account of the Client on daily product basis.

f. INTERNAL NETTING OF TRADES

If shortages arise out of Internal netting of trades then local auction will be done and in case shares are not bought in auction then, internal closing will be done at highest price of the share from trading day till auction day or closing price of the share on the Auction day plus 10% which ever is higher in case of shortage of obligations.

g. LIQUIDATION/CLOSE OUT POSITIONS.

LSC Securities Limited shall be entitled to close out all or any clients' position for non payment of margins or any other dues, in the event of death of the client, insolvency of the client or otherwise barred by any regulatory authorities like SEBI, NSE, BSE, MSEI, PMLA regulations or any government authorities etc and at any point of time the client indulges in any manipulative or illegal activities. Further clients will not be allowed to take fresh positions.

h. TEMPORARILY SUSPENDING OR CLOSING A CLIENT'S ACCOUNT AT THE CLIENT'S REQUEST.

On the written request of the client the trading will be suspended temporarily or account will be closed with in 24 hours.

i. DEREGISTERING A CLIENT.

Within 24 hours, on receiving the written request from the client and sub broker/Authorized Person provided all dues are cleared. If the request is received from one party for the deactivation, then sending 30 days notice to the other party for confirmation and then account will be deactivated on receiving confirmation or expiry of 30 days which ever is earlier.

j. INACTIVE ACCOUNTS

If the client is inactive for the continuous period of 12 months that client's account will be considered as dormant account.

It will be activated on written request of the sub broker/Authorized Person, if the above said period is less than two years and if period is more than two years, it will be activated on written request of the client only. Assets of those accounts will be transferred immediately on clients' request after clearance of dues, if any.

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(Client Signature)

TARIFF SHEET

BROKERAGE SLABS FOR CASH SEGMENT

(Exclusive of Service Tax, STT and any other Statutory Levies)

Brokerage Slab	Slab %	Minimum Paise	Table No.
Daily Square up (Trading)			
Delivery Based			

BROKERAGE SLABS FOR EQUITY DERIVATIVES SEGMENT

(Exclusive of Service Tax, STT and any other Statutory Levies)

Brokerage Slab	Futures	Options	Minimum
Normal Expiry			
Daily Square Up			

BROKERAGE SLABS FOR CURRENCY DERIVATIVES SEGMENT

(Exclusive of Service Tax, STT and any other Statutory Levies)

Brokerage Slab	Futures	Options	Minimum
Normal Expiry			
Daily Square Up			

OTHER CHARGES

DP Transaction Charges	Yes		No	
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Securities Transaction Tax (applicable as per act from time to time)

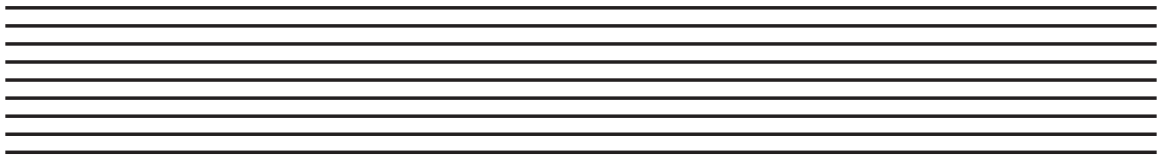
Service Tax (applicable as per act from time to time)

Stamp Duty (applicable as per act from time to time)

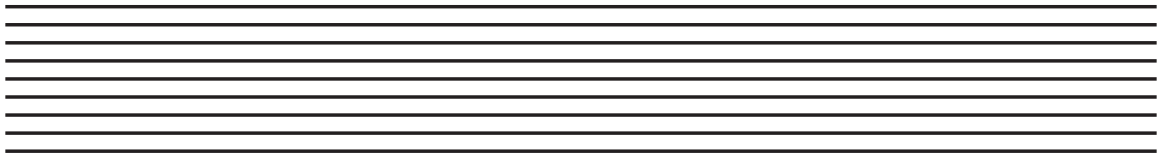
SEBI Tax (applicable as per act from time to time)

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VOLUNTARY DOCUMENTS



OPTIONAL CLAUSES

1. TRANSACTION FOR ANY OTHER PERSON

The Client agrees that he will not do any trades/transactions for any other person other than him by acting as remisier / agent/ trader/sub broker/Authorized Person or in any other form without prior written permission of LSC SECURITIES LIMITED and/ or SEBI and/or getting registration from SEBI for the same as applicable.

2. GUARANTEE OF TRADE

The Client understands that placing an order with the sub broker/Authorized Person including a market order does not guarantee execution of the order. The Stock Broker/ Sub Broker/Authorized Person has absolute right to reject any order that may be made by the client for any reasons whatsoever including for the breach of the requirement of maintaining the prescribed margin/deposit in the client account/bank account.

3. PROPRIETARY TRADING

It is disclosed that LSC SECURITIES LIMITED does not enter into any Proprietary trades and the Sub Broker/Authorized Person enters into proprietary trades.

4. CASH TRANSCATION

The Client, sub broker /Authorized Person and Stock Broker agrees that they will not involve in any cash transactions except in extreme emergency/exceptional circumstances subject to acceptance of all the parties to the transaction and statutory provisions in this regard.

5. CLIENT REGISTRATION FORM

The Sub Broker /Authorized Person shall ensure the Client Registration Form is complete in all respects along with relevant documents and other related aspects as mentioned in the said Client Registration Form which is annexed to this Agreement. The Sub Broker/Authorized Person shall forward the duly completed Client Registration Form to the Stock-Broker along with this Agreement within the time specified by LSC Securities Limited from time to time.

6. SHORTAGES

The Sub Broker/Authorized Person has made aware the Client, that in case of purchase of securities by the Client, at times the Stock-Broker may be unable to deliver

the securities to the said purchaser on the payout day due to non receipt of the securities from the stock exchange(s) or in case of non receipt of the said securities from another Client of the Stock-Broker who has sold the securities against the said purchase transaction. In case of such short delivery; the securities shall be delivered to the purchaser as per the policy specified by the Stock-Broker and as amended from time to time.

7. PAY OUT OF SECURITIES / FUNDS

The Sub-broker /Authorized Person has made aware the client the norms for payout of securities and funds and in order to facilitate operations and his banking convenience the Client hereby authorizes the Stock-Broker to maintain a running account with the Stock-Broker, instead of settlement to settlement clearance of funds/ securities due to the client. Further the payout of funds/securities may be retained by the Stock-Broker and the client agrees not to claim any interest from the Stock-Broker on such securities/ funds so retained by the Stock-Broker. The funds/ securities so retained shall be available to the Stock-Broker for exposure/margin purposes otherwise. The Client further agrees that the Stock-Broker shall not be liable for any claim for loss or profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities/funds under this agreement or on written request of the Client to the Sub Broker/Authorized Person with a copy to the Stock-Broker, the Stock-Broker may release the funds/securities to him, if sufficient margins in respect of his trading, across the stock exchange(s) and across the segment of the stock exchange(s) are available with the Stock-Broker.

The client authorizes the Stock Broker to transfer, make adjustments and/ or to set off a part or whole of the securities placed as margin and/or any surplus funds in any of my account (s) maintained with Stock Broker for meeting my/ our obligations towards margin, pay-in and any other obligations due to the Stock Broker in any of his/ her/ their account (s) maintained with Stock Broker.

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(Sub-Broker/Authorized Person Signature)

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LSC Securities Limited)

8. RECOVERY OF ERRONEOUS CREDIT/DEFICIT

In the event of CLIENT's account receiving an incorrect credit/debit by reason of a mistake, the STOCK BROKER shall be entitled to reverse such incorrect credit/debit at any time whatsoever. The CLIENT or his nominees, successors, heirs and assignee shall be liable and continue to remain liable to the STOCK BROKER for any incorrect gain obtained as a result of the same and the deficit, if any, in the account of the CLIENT arising out of any other reason and the STOCK BROKER reserves the right to take such remedial measures against the CLIENT or his nominees, successors, heirs and assignee for recovery of such erroneous credit/deficit.

9. CLIENT'S AUTHORIZATION

The Client authorizes the Stock-Broker, (at the Stock-Broker's discretion, should the Stock-Broker deem necessary for the Stock-Broker's protection), to buy, sell or close out any part or all of the trades done by the Client in his/her/its account with the Stock-Broker. Any and all losses, financial charges and/or incidental expenses incurred by the Stock-Broker, and agent or sub broker/Authorized Person of the Stock-Broker and/or any other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the Stock-Broker, in doing the aforesaid shall at the discretion of the Stock-Broker, be reimbursed by the Client/ Charged to and borne by the Client/ deductible by the Stock-Broker from the monies and/or collateral/margin of the Client available with the Stock-Broker.

10. MARGINS

The Sub-broker/Authorized Person shall ensure that the Client pays the daily margins, special margin or such other margins as determined by the Stock Broker or the Exchange from time to time.

The Sub Broker /Authorized Person and Client hereby agree that the Stock-Broker shall be entitled to charge penal charges at such rate as may be determined by the Stock-Broker in its sole discretion on the debit balance in the collateral/margin account of the Client. Without prejudice to the foregoing, the Stock-Broker shall be entitled to refuse to execute any orders of the Client, until such time as the Client has deposited adequate collateral/margin to the satisfaction of the Stock-Broker.

The Client agrees that except for the first and exclusive interest created by the Client in favour of the Stock Broker, without the prior written consent of the Stock-Broker, it shall not cause and/or allow any collateral/ margin deposited with the Stock-Broker to be or become the subject matter of any lien or pledge or encumbrances of any nature whatsoever.

The Sub Broker/Authorized Person and Client hereby confirm that all collateral/margin owned by the client singly or jointly and deposited with the Stock Broker for the purpose of securing the dealings of the Client shall be subject to a continuing security, lien and set off for the discharge and satisfaction of the obligations or liabilities of the Client to the Stock-Broker any agent or sub-broker/Authorized Person of the Stock-Broker and/or any other individual, partnership, corporation, company, organization, association trust or other entity acting for or on behalf of the Stock-Broker. The Stock-Broker may hold such collateral/margin until the dues and/or obligations of the Client as aforesaid are fully satisfied and the Client shall remain liable for any deficiency that may arise after applying the proceeds of such collateral/margin.

The Sub Broker /Authorized Person and Client hereby authorize the Stock-Broker to deposit with any depository participant, Clearing House (as the case may be), any custodian or any other such authority authorized for this purpose under applicable law, all or part of collaterals/margin placed by the client with the stock broker as security for the purpose of operation for this agreement, until such time as the client becomes eligible for delivery or refund (as the case may be) of such collateral/margin.

The stock broker reserves the right in the sole and absolute discretion to collect additional margins (even though not imposed by the Exchange (as the case may be) and / or SEBI), and the client shall be required to pay such additional margins to the stock broker and the sub broker/ Authorized Person shall ensure that the said additional

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(Client Signature)

(Sub-Broker/Authorized Person Signature)

(Authorised Signatory
LSC Securities Limited)

margins are received from the client.

11. TRANSACTIONS AND SETTLEMENTS

The Sub-Broker/Authorized Person and client hereby agree and confirm that

- a) Unless the Stock-Broker otherwise permits, all the trades for the purchase and/or sale of securities outstanding at the end of a trading day shall result in delivery of securities for a sale trade or payment for purchase trade.
- b) The Stock Broker shall not be obliged to deliver any securities or pay any money to the Client unless and until the same has been received by the Stock-Broker from the Exchange or the Clearing Corporation (as the case may be.)
- c) The Stock-Broker shall have the right to allocate securities and money among the Client and other Clients of the Stock-Broker in a manner and form that the Stock-Broker deems fit where (i) the Stock-Broker has a net purchase obligation in respect of the Client and other Clients with The Exchange, but receives a short delivery and (ii) the Exchange/Stock-broker is only able to partly receive in auction and partly close out the securities falling short on behalf of the defaulting party.
- d) The Stock-Broker shall be entitled to offset the purchase value of the purchase transaction of the Client against the proceeds of a sale transaction of the Client.

12. OBLIGATIONS IN THE EVENT OF SHORT SALES

In the event that the Sub Broker/Authorized Person through the Stock-Broker makes a short sale of any securities on the instructions of the Client and the latter fails to deliver the securities either, fully or in part, the Stock-Broker shall have the express authority, and the Client hereby gives to the Stock-Broker such express authority, to buy or otherwise arrange for the securities in question to meet the obligations arising out of such failure of the Client without any further reference to the Client. The Client and Sub Broker/Authorized Person jointly and severally shall be responsible for any loss

that may be sustained by the Stock-Broker as a result of such failure of the Client to deliver the securities.

Not with standing the aforesaid, the Stock Broker shall be entitled in its discretion, to effect a short delivery to the Client for a purchase trade, inter alia, where the counter-party, being the seller(s) in the respective transactions deliver(s) short to the Exchange/ Stock Broker and the Exchange/ Stock Broker is not able to buy-in the Securities falling short on behalf of the defaulting party and therefore closes out the transaction as per the Rules, Bye laws and Regulations of Exchange or as defined by the Stock-Broker.

13. DISCHARGE OF OBLIGATION AND COMPLIANCE BY THE CLIENT

The Client hereby undertakes to,

- a. discharge its obligations with respect to payment for the dealings in a timely manner, so as to enable the Stock-Broker to meet its obligations to the relevant Exchange(s), the clearing House (as the case may be) and/or otherwise; and
- b. Otherwise be fully responsible for all of its dealings, payments and orders The Client and Sub Broker/Authorized Person shall be liable for all such liabilities as may arise due to non fulfillment of any obligations by the Stock Broker towards any Exchange or any other regulatory authority due to the noncompliance by the Client of its obligations to or through the Stock Broker.

14. RESTRICTIONS AND REGULATIONS OF DEALINGS:

The Stock-Broker shall at its discretion decide, from time to time, the volume of business which the Client introduced by the Sub Broker/Authorized Person may transact during any trading day on the Exchange. Notwithstanding such an agreement / arrangement, the Stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client without any prior notice to the Client or

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(Client Signature)

(Sub-Broker/Authorized Person Signature)

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LSC Securities Limited)

Sub Broker /Authorized Person interalia, having regard to

1. the volatility in the market,
2. in view of impending price sensitive announcements;
3. any restrictions in relation to volume of trading/outstanding business or margins stipulated by any Exchange;
4. political instability in the Country;
5. presence of any other price sensitive factors;
6. failure by the Client to maintain the applicable collateral/margin; and / or
7. delays by the Client in meeting its obligations /dues relating to the business / dealings done under this Agreement or pursuant to any other agreement between the Client and the Stock-Broker.

15. LIQUIDATION / CLOSE OUT OF POSITIONS:

Without prejudice to the stock broker's other rights including the right to refer a matter to arbitration, the stock broker shall be entitled to liquidate/close out all or any of the client's positions with oral intimation to sub broker/Authorized Person for non payment of margins, other amounts due from the client to the stock broker, an Exchange, a clearing house, any agent or sub broker /Authorized Person of the stock broker and /or other individual, partnership, corporation, company, organization, association, trust or other entity acting for or on behalf of the stock broker, or any other outstanding debts etc. Any and all losses, financial charges and/or incidental expenses incurred by the Stock broker on account of transactions executed by the client through stock broker and sub broker/ authorized person and/or such liquidation / close out shall (at the discretion of the stock broker) be reimbursed by the client and/or sub broker /Authorized Person/charged to and borne by the client and/or sub broker/Authorized Person/deductible by the stock broker from the monies and/or collateral margin of the client /sub broker/Authorized Person or brokerage of the sub broker /Authorized Person available with stock broker.

16. SHARING OF INFORMATION

The Client agrees to immediately furnish information to the Stock-Broker and Sub Broker /Authorized Person in writing in the event that is likely to have an adverse effect on the financial position of the Client.

Upon receipt of information from the Client as aforesaid, the Stock-Broker or Sub Broker /Authorized Person shall be entitled to take such action (in its absolute discretion) as it may consider necessary in order to protect its own interest, including without limitation liquidating/closing out all outstanding positions of the Client under oral intimation to the Sub Broker/Authorized Person.

Similarly, the Stock Broker agrees to inform Client through the Sub Broker/Authorized Person of the following.

- i. the trades/transactions and the contract executed and associated obligations to the client.
- ii. the daily settlement position and daily obligations of the Client in relation to its dealings in Cash Market through the Stock Broker on the Exchange, and
- iii. the account of the Client with the Stock Broker, any movement in the price of the securities traded against the Client at the end of the day on the Exchange.

17. EFFECT OF ATTACHMENT

The Stock-Broker shall not be liable for refusing to obey orders given by or for the Client with respect to its account(s) with the Stock Broker (including without limitation of any Client Account) Which has or have been subject to attachment in any legal proceeding or under any applicable law for the time being in force, against the Client and the Stock Broker shall not be under any obligation to contest the validity of such attachment or sequestration. Further the Client

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(Client Signature)

(Sub-Broker/Authorized Person Signature)

(Authorised Signatory
LSC Securities Limited)

shall be liable to indemnify the Stock Broker from and against any loss of expenses suffered and/or incurred by the Stock Broker as a result of such attachment.

18. SEVERABILITY

In the event of any provisions of this Agreement being held to be becoming invalid, unenforceable or illegal for any reason, such invalidity unenforceability or illegality shall attach only to such provision or condition, and this Agreement shall remain otherwise in full force apart from the said provision, which will be deemed deleted. The validity of the remaining provisions and conditions shall not be affected thereby and this Agreement shall be carried out as if any such invalid or unenforceable provision or condition was not contained herein. The Stock-Broker shall however attempt to replace the deleted provision with a legally valid provision that reflects the same purpose as the deleted provision to the greatest extent possible.

19. NO WAIVER

Any failure and/or delay on the part of the Stock Broker to insist on strict compliance/exercise with any of the terms, conditions, provisions, powers and/or rights in this Agreement or a continued course of such conduct shall at no time operate as waiver, in full/part, of such terms, conditions, provisions, powers and/or rights. All such powers, remedies and/or rights are cumulative and not exclusive to any other powers, remedies and/or rights that the Stock Broker may otherwise have.

20. FORCE MAJEURE

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

- i) any action, omission, suspension of trading decision or ruling of any exchange or regulatory, governmental or other body or of any other person which is beyond the Stock Broker's control (including floor broker, exchange, dealing or clearing house) or

- ii) any war, strike, lock-out, natural disaster, act of terrorism, delay in postal services or any other delay or inaccuracy in the transmission of order or other information, or any breakdown, failure or malfunction beyond the control of the Stock Broker of any telecommunication or computer system.

The above Force Majeure events do not exempt the Client to fulfill the obligations in his account with the Stock-Broker.

21. COMMUNICATION AND NOTICES

1. All notices or communications issued under this agreement shall be served in anyone or more or all of the following ways under (a) to (l) below and such notice or communication shall, be served at the ordinary business address and / or ordinary place of residence and / or last known address of the party in anyone or more of the following ways. (a) by post (b) by registered post (c) under certificate posting (d) by express delivery post (e) by telegram (f) affixing it on the door at the last known business or residential address (g) by oral communication to the party or on the last known telephone number or on the recording machine of such number(h) by advertising it in atleast one prominent daily news paper having circulation in the area where the last known business or residential address of the Client is situated (i) by sending a message through trading system (j) by a notice posted on the notice board of the Exchange/ Stock Broker if no address be known (k) by electronic mail or fax (l) by hand delivery.
2. Any communication sent by the Stock Broker to the Client or sub broker/Authorized Person shall be deemed to have been Properly delivered or served, even if such communication is returned to the Stock Broker as unclaimed/refused/undelivered, if the same is sent to the ordinary business address and/or ordinary place of residence and/or last known address of the party, in anyone or more of the ways as mentioned in clause 21 (1) above.

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(Sub-Broker/Authorized Person Signature)

(Authorised Signatory
LSC Securities Limited)

22. SETTLEMENT OF CLAIMS

For the illegal acts or unfair trade practices of the Client, if any penalty is levied or any other loss that may be suffered by the Stock Broker due to suspension of the Stock Brokership of the Stock Broker, the Stock Broker shall pass on the said penalty or fine or exemplary damages that are levied by the Exchange to the Client which shall be paid/adjusted from the balances, if any, of the Client lying with the Stock-Broker.

23. AMENDMENT

The Stock Broker may from time to time amend the agreement if required, for complying with any change in Statute, Regulation or with the requirements of any competent authority or if required under its corporate policies. The same shall be intimated to the Client by the Stock Broker through the Sub Broker/Authorized Person in writing through letters from time to time which shall be part and parcel of this agreement. In case the Client continues to deal with the Sub Broker/Authorized Person in writing through letters from time to time which shall be part and parcel of this agreement. In case the Client continues to deal with the Sub Broker/Authorized Person affiliated to the Stock Brokers subsequent to the intimation of such amendments, it shall be deemed that the Client is agreeable to the new clauses. However the Client has right to terminate the agreement through communication in writing by giving one month notice subject to the meeting of the financial and other obligations under this agreement.

24. INVESTMENT ADVICE:

24.1 The Client acknowledges that the Stock Broker shall not be liable to provide him with any legal, tax investment or accounting advice or advice regarding the suitability or profitability of a security or investment.

24.2 The Client also acknowledges that the Stock Broker's employees are not authorized to give any such advice and that the Client will not solicit or rely upon any advice from the Stock Broker or any of its employees.

24.3 The Client agrees that in the event of the Stock Broker or any employee or official of the Stock Broker providing any information, to the Client, the Client may act upon the same at the sole risk and cost of the Client, and the Stock-Broker shall not be liable or responsible for the same.

24.4 The Client assumes full responsibility with respect to his investment decisions and transactions.

24.5 The Stock Broker, its officers, directors, partners, employees, agents and affiliates will have no liability with respect to any investment decisions or transactions of the Client.

24.6 The Client shall always keep himself abreast of all requirements to be complied by him under various laws including the Foreign Exchange Management Act, 1999 wherever applicable and the rules, regulations, directions circulars, notifications or guidelines issued under or pursuant to the relevant laws.

25. Words and expressions which are used in this agreement, but which are not defined herein shall, unless the context otherwise required, have the same meanings as assigned thereto in the rules, byelaws and regulations of the Exchange and circulars issued thereunder.

This agreement can be altered, amended and/or modified by the parties mutually in writing without derogating from the contents of this Agreement. Provided however, if the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Byelaws, Rules and Regulations of the relevant Stock Exchange, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this agreement.

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(Client Signature)

(Sub-Broker/Authorized Person Signature)

(Authorised Signatory
LSC Securities Limited)

(VOLUNTARY DOCUMENT)

M/s. LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.

SUB:- DECLARATION WITH REGARD TO CLIENT WITH LSC SECURITIES LTD.
THROUGH _____ (NAME OF THE SUB-BROKER/AUTHORIZED PERSON)

Dear Sir,

This has reference to Trading Account Opened with LSC Securities Limited, Stock Broker having SEBI Registration No. INZ000081836 (NSE-Cash Segment) (NSE-F&O), (NSE-CD), (BSE-Cash Segment), (BSE-F&O), (MSEI), M/s. _____,

Sub-broker/Authorized Person affiliated to LSC Securities Limited and _____, the client.

In connection with the availing of the trading services of M/s LSC Securities Limited through _____ (Name of the Sub-broker/Authorized Person), I hereby state as under :

1. I/ We understand that I/We am/are registered as a client of M/s LSC Securities Limited through _____ (name of the sub-broker/Authorized Person).
2. For facilitation of the transactions, I/We hereby authorize _____ (Sub-broker's/Authorized Person Name) to place dealing orders through M/s LSC Securities Limited on my behalf.
3. I/We shall be bound by all actions taken by _____ (Sub-broker's /Authorized Person name) on my/our behalf and shall ratify all acts done by M/s LSC Securities Limited on the instructions of _____. (Sub-broker's/Authorized Person Name).
4. I understand that you require written instructions for receiving/ modifying or cancelling orders. However, since it is not practical to give written instructions for every order, I hereby authorize you to kindly accept my verbal instructions/ orders over phone and execute the same.
5. Since you are issuing contract notes bearing order numbers and trade numbers on a daily basis, please do not issue the order/ trade confirmation slips as generated from the Trading Terminal, unless otherwise requested by me/us in writing.
6. All payments relating to transactions executed through LSC Securities Limited shall be made by me/ us only through cheque/ demand draft drawn in favour of "LSC Securities Limited A/c _____ (Sub-broker's/Authorized Person name). Further, the cheques for payments shall be from the bank account which has been mentioned by me/ us in my/ our Client Registration Form.
7. All securities against my obligations shall be delivered through the Demat Account which was been mentioned in my/ our Client Registration Form.
8. M/s LSC Securities Limited shall not be responsible for any of my/our personal dealings with _____ (Sub-broker's/Authorized Person Name) or its employees.
9. Any grievance with regard to the transactions shall be directed to LSC Securities Limited at the aforementioned address.

In acceptance of all the above stated clauses and documents regarding trading account executed by me/us, I/We requested you to register me/us as client.

Thanking you,

Yours faithfully,

Name of the Client :

Signature of the Client : (X)

Date :

Place :

Accepted

Sub-broker's/Authorized Person Signature and Stamp

(VOLUNTARY DOCUMENT)

DECLARATION TO BE GIVEN BY GUARDIAN (IN CASE OF ACCOUNT OPENING FOR MINOR)

M/s. LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.

**Guardian
Photograph**

Please sign
across the
Photograph

x

REF :- **CLIENT CODE** _____

Dear Sir,

This is with reference to the above account opened in the name of Master/ Miss. _____

_____ (Name of Minor and Client Code)

_____ with you for the purpose of dealing in securities on NSE and BSE.

With reference to the said trading account, you are requested to accept or receive funds/ securities from and make payment of funds/ transfer of securities to the account of my son/ daughter, Master/ Ms. _____ as per the details given below for all the dealings in

the said trading account :

Bank Account No.	
Bank Name	
Branch	
Client ID No.	
DP ID No.	
DP Name	

I/We _____, the guardian of the minor _____ hereby undertake that I/We will not use this trading account for buying of securities in the Secondary market.

I/We will ensure the compliance of all the rules, regulations or requirements of any authority including SEBI, Stock Exchanges and LSC Securities Limited in relation to operation of trading account in the name of minor.

Further, I/We take full responsibility for violation of any rules, regulations or requirements of any authority including SEBI, Stock Exchanges and LSC Securities Limited in relation to operation of trading account in the name of minor.

Kindly do the needful. Thanking you.

Yours faithfully,

⊗

(SIGNATURE OF THE PARENT/ GUARDIAN)

Date :

Place :

(VOLUNTARY DOCUMENT)

AUTHORISATION LETTER BY CLIENT TO MEMBER BROKER FOR GIVING AUTHORITY TO THIRD PERSON TO ACT ON HIS BEHALF (IF REQUIRED)

**M/s. LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.**

**REG:- AUTHORITY TO ACT ON BEHALF OF _____
(NAME OF THE CLIENT)**

This has reference to the trading account opening having client code. Pursuant to said document I/ We hereby authorize Mr. _____ whose signature is appended below to

1. Place orders with/ give instructions to LSC Securities Limited for buying and selling of share and securities at the BSE, NSE and MSEI through telephone, voice mail, e-mail, fax letter or other mode/means of communication as may be thought necessary from time to time for the aforesaid purpose on my behalf.
2. Sign, execute and deliver orders, instructions, letters, accept notes, contracts and such other documents as may be considered necessary from time to time for the aforesaid purpose, on my behalf and
3. Take all such actions and do all such things as may be deemed prudent, necessary and expedient for giving effects to the above authorizations from time to time on my behalf.

I hereby confirm that any action taken by any or both of you on the basis of this authorization shall be binding on me.

Name of the Authorised Person :

PAN No.

Address of the Authorised Person :

Signature of the Authorised Person :

Date :

Place :

Name of the Client :

Signature of the Client : (X)

Date :

Place :

(VOLUNTARY DOCUMENT)

DECLARATION BY FIRM (SOLE PROPRIETORSHIP) ON LETTER HEAD OF THE FIRM

**LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.**

Dear Sir,

This has reference to the trading account opened with you in the name of _____
_____.

In this context, I declare and authorize you as under :

I understand that a beneficiary account cannot be opened with a depository participant in the name of a sole proprietorship firm as per Regulations. As such, in order to facilitate the operation of the above trading account with you and for the purpose of completion of obligations relating to securities pursuant to the trading operation, I authorize you to recognize the beneficiary account No. _____ with Depository Participant _____ opened in the name of the undersigned who is the proprietor of the firm.

I agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/ from the above mentioned account. I recognize and accept transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of the firm.

Further I the undersigned am the sole proprietor of the firm and am solely responsible for the liabilities thereof. I shall advise you in writing of any change that takes place in the constitution of the firm and I will be personally liable to you for all the obligations that the firm may incur in the course of dealings with you and undertake to personally discharge such liabilities.

Yours truly,

Name of the Client :

Signature of the Client with Stamp : (X)

Date :

Place :

(VOLUNTARY DOCUMENT)

CONSENT OF JOINT HOLDERS IN RESPECT OF JOINT DEMAT ACCOUNT

LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.

This has reference to the trading account opened with LSC Securities Limited, M/s. _____
_____ (Name of the Sub-broker/Authorized Person) and Mr.
_____ (Name of the Client), I/we declare as under :

1. I/we am/are aware that Mr./Ms. _____ (Name of the Client) is registered with LSC Securities Limited as a client for availing trading facilities on NSE/BSE/MSEI.
2. I/we am/are having a joint Demat Account Number _____ with _____ (Name of DP) wherein Mr./Ms. _____ who has been trading through LSC Securities Limited on NSE/BSE/MSEI is the first holder.
3. I/we do not have any objection in case the securities lying in the aforesaid Demat Account at any point of time are utilized by Mr./Ms. _____ (Name of the Client) for meeting his obligations towards securities/any other dues in respect of the transactions undertaken by him through LSC Securities Limited
4. I/we do not have any objection in case the securities due to Mr./Ms. _____ (Name of the Client) from LSC Securities Limited from time to time in respect of his transactions through LSC Securities Limited are credited to the aforesaid Demat Account.

Date :	Name(s)	Signature
	1st Holder _____	⊗ _____
Place :	2nd Holder _____	⊗ _____
	3rd Holder _____	⊗ _____

Name of the Client _____

Signature of the Client ⊗ _____

* Please provide self certified copy of PAN Card or any other documentary evidence having specimen signature(s) of the Joint Holder(s) not having Trading/Demat Account with LSC Securities Limited.

(VOLUNTARY DOCUMENT)

SELF DECLARATION FOR NAME MISMATCH

**LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.**

I having PAN _____ hereby declare that

1. My name mentioned in PAN Card is _____
2. In additional ID Proof i.e. Voter Id/Passport/Driving License it is _____
3. In Bank A/c No. _____ it is _____
4. In _____ it is _____

Further I declare that the names mentioned in above detailed documents pertain to me. Therefore, I request you to open my Trading Account in the name appearing as per my submitted PAN and to make all the payouts in the name as mentioned in my Bank proof .

I will be solely responsible for any consequences arising out of the difference in my name in my PAN , Income tax web-site and other supporting documents provided by me at the time of Opening the account.

Thanks

Name of the Client : _____

Sign here : - (X) _____

Date : _____

Place: _____

(VOLUNTARY DOCUMENT)

CONSENT OF JOINT HOLDERS IN RESPECT OF JOINT BANK ACCOUNT

LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.

This has reference to the trading account opened with LSC Securities Limited , M/s. _____
_____ (Name of the Sub-broker/Authorized Person) and Mr./Ms.
_____ (Name of the Client), I/we declare as under :

1. I/we am/are aware that Mr./Ms. _____ (Name of the Client) is registered with LSC Securities Limited as a client for availing trading facilities on NSE/BSE/MSEI.
2. I/we am/are having a joint Bank Account Number _____ with _____ (Name of Bank) wherein Mr./Ms. _____ who has been trading through LSC Securities Limited on NSE/BSE/MSEI , is the Client.
3. I/we do not have any objection in case the funds lying in the aforesaid Bank Account at any point of time are utilized by Mr./Ms. _____ (Name of the Client) for meeting his obligations towards securities/any other dues in respect of the transactions undertaken by him through LSC Securities Limited.
4. I/we do not have any objection in case the funds due to Mr./Ms. _____ _____ (Name of the Client) from LSC Securities Limited from time to time in respect of his transactions through LSC Securities Limited are credited to the aforesaid Bank Account.

Date :	Name(s)	Signature
	1st Holder _____	⊗ _____
Place :	2nd Holder _____	⊗ _____
	3rd Holder _____	⊗ _____

Name of the Client _____

Signature of the Client ⊗ _____

* Please provide self certified copy of PAN Card or any other documentary evidence having specimen signature(s) of the Joint Holder(s) not having Trading/Demat Account with LSC Securities Limited.

VOLUNTARY DOCUMENT FOR NON-INDIVIDUALS

DECLARATION TO BE GIVEN BY PARTNERSHIP FIRM ON LETTER HEAD OF THE FIRM

LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market, Ludhiana -141 001.

Dear Sir,

We refer to the trading account being opened with you in the name of _____
and declare and authorize you as under _____ (Name of the Partnership Firm)

We understand that a beneficiary account cannot be opened with a depository participant in the name of the Partnership Firm as per Regulations. As such, in order to facilitate the operation of the above trading account with you and for the purpose of completions of obligations towards securities pursuant to the trading operations, we authorize you to recognize the beneficiary account no. _____ with depository _____ opened as a joint account in the names of the partners of the firm.

We agree that the obligations for shares purchased and/or sold by the firm will be handled and completed through transfers to/from the above mentioned account. We recognize and accept transfer made by you to the beneficiary account as complete discharge of obligation by you in the respect of trades executed in the above trading account of the firm.

We hereby authorize Mr./ Ms. _____, partner in the firm to execute/ sign and submit such documents, agreement, deeds etc. as may be necessary to enter into the agreement and engage in business with LSC Securities Limited and to sell, purchase, transfer, endorse, negotiate and do other things that may be necessary to engage in business on behalf of the partnership Firm.

Name of Partners (in block letters)	Signature
	⊗
	⊗
	⊗
	⊗
	⊗

Date :

Place :

(VOLUNTARY DOCUMENT)

**DECLARATION BY HUF TO RECOGNIZE DEMAT A/C
FOR TRADING PURPOSE.**

**LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.**

Dear Sir,

This is with reference to the trading account opened with you in the name of _____ . I hereby declare and authorize you to recognize the beneficiary account no. _____ with depository _____ opened in the name of the undersigned who is the Karta of the HUF, for the purposes of completing the securities transfer obligations pursuant to the trading operations. I agree and understand that this is to facilitate the operation of the above trading account with you, as a beneficiary account cannot be opened with a depository participant in the name of HUF as per regulations and that transfers made by you to the beneficiary account as complete discharge of obligations by you in respect of trades executed in the above trading account of HUF.

Signature (Please sign with stamp of the HUF)

⊗ _____

(VOLUNTARY DOCUMENT)

AUTHORIZATION FOR MAINTENANCE OF RUNNING ACCOUNT

Dated :

LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.

REG. :- MAINTENANCE OF MY/OUR ACCOUNT ON A RUNNING ACCOUNT BASIS

Dear Sir,

This has reference to the trading account opened with LSC Securities Ltd., I/We hereby request you to maintain my/our account, both Securities and Funds, with you on a running account basis. This will facilitate me / us in my / our transactions through LSC Securities Limited. I/We also request you to consider the balances in my/our running funds and securities account with you for the purpose of any obligation due to you.

1. In the view of above, I undertake that running account authorization can be revoked at any time by me/us and the authorization will continue until it is revoked by me/us.
2. The authorization shall be signed by me/us only and not by any authorised person on my/our behalf or any holder of the Power of Attorney.
3. I/we accept maintenance of my running account basis, provided actual settlement of funds will be done on monthly/quarterly basis.
4. All the disputes arising of the settlement as above said shall be brought to the notice of LSC Securities Ltd. within 7 working days from the date of receipt of funds/securities or statement, as the case may be.
5. I/We accept that M/s. LSC Securities Ltd. may retain an amount of up to Rs. 10,000/- for setting my/our Account (across segments and across stock exchanges)

Yes No

UNIQUE CLIENT CODE OF THE CLIENT : _____

NAME OF THE CLIENT : _____

SIGNATURE OF CLIENT : _____

(VOLUNTARY DOCUMENT)

**CONSENT TO RECEIVE CONTRACT NOTES AND OTHER DOCUMENTS
IN ELECTRONIC FORM**

**LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.**

Dear Sir,

Sub : Contact Notes and other documents in electronic form.

I/We hereby agree and given consent to accept the contract notes for transactions on by me/us with you, in Digital Form.

I/We further agree to and give consent to you, to send statement of Funds and Securities, Daily Margin Statements, Bills and other communications in Digital Form to the email id as mentioned below :

1.

2.

I/We agree that if there is any change in the email id, the same shall be communicated to you through physical letter and for internet clients other secured access by way of client specific user Id and passwords.

Yours Truly,

Name of the Client : _____

Client Code : _____

Client Signature : (X) _____

Encl : T & C

VOLUNTARY

Dear Customer,

Thank you very much for opting our offer to send you the contract notes and other documents in digital form.

For availing the facility of digital contract notes following are the terms & conditions. Please sign it as an acceptance to it.

Digital Contact Notes

1. The Contract Notes will be issued in digital form in compliance with the guidelines issued by SEBI/Exchanges from time to time.
2. Digital Contract Notes will be mailed to email Id provided to us in the format as may be prescribed by the exchange from time to time.
3. Digital Contact Notes will also be available at www.lse.co.in/lseisl.
4. Client can view the Digital Contact Notes on URL by using the username and password.
5. In case of any failure in system or errors in Digital Contract Notes, contract notes will be issued in physical form, which shall be binding on the client.
6. Discrepancies, if any, should be sent to the LSC Securities Ltd. or to email igc@lseisl.com within the time schedule stipulated in the bye-laws, rules and regulations of the exchanges.
7. The client hereby agrees to intimate LSC Securities Ltd. of any change in email ids.
8. The client shall ensure confidentiality and secrecy of login id and password. LSC Securities Ltd. shall not be liable or responsible for any breach of secrecy.

Other Documents (such as Statement of Funds and Securities, Daily Margin Statements, Bills and other communications)

9. All other communications shall be emailed to client at the email id given by the client.
10. In case of statements of Funds and Securities, Daily Margin Statements and bills, clients will have time to report the discrepancies within 30 days of the issuance of the statement.
11. In case of other communications, the client will have to raise the query within the time specified in the respective communication. If the client is not able to respond within the specified, it shall be assumed that clients has taken the note of the communication and he/she/it does not have any objection and/or query on the said communication.
12. Feedback or objections may be raised by sending an email to igc@lseisl.com or any other specified email mentioned in the communication.
13. Any change in the above Terms & Conditions shall be intimated to the client from time to time through by email or letter.
14. Non bouncing of email shall be considered as a valid delivery to the client and we shall not be responsible for the consequences thereof.

Name of the Client : _____

Client Code : _____

Client Signature : (X) _____

POWER OF ATTORNEY FOR MARGINS/DELIVERY OBLIGATIONS

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

WHEREAS LSC Securities Limited , a company incorporated under The Companies Act, 1956 having its registered office at SCO 50, 1st Floor, Sector 34-A. Chandigarh, Corporate office at 1st Floor, LSE Building, Feroze Gandhi Market, Ludhiana is a corporate member of NSE, BSE, MSEI and Depository Participant with National Securities Depository Limited (NSDL) & Central Depository Services (India) Ltd. having DP ID IN301846 & 12025400 respectively for providing depository services to clients and is also a member of Exchange(s) for offering services to its client for trading in shares, Derivatives, Currency Derivatives, bonds, mutual funds and other investment schemes and securities.

WHEREAS I/We am/are availing/desirous of availing facilities offered by LSC Securities Limited for trading in shares, Derivatives, Currency Derivatives, bonds, mutual funds and other investment schemes and securities.

WHEREAS I/We.....
have opened and am/are operating beneficial owner (BO) account No. (s).....
with LSC Securities Limited Depository Participant with NSDL/CDSL

Whereas for my/our convenience & in order to facilitate the proper execution of all transactions undertaken by me/us in pursuant to agreement(s) entered/to be entered with LSC Securities Limited, and to consider the securities in the above said beneficiary owner account(s) as margin/collateral/security for dealing done/to be done/expected to be done through LSC Securities Limited by me/us, I/We want to appoint LSC Securities Limited as my/our true and lawful attorneys to operate my/our above referred beneficial owner (BO) account(s) in the manner and to the extent specified herein under.

NOW KNOW YOU ALL AND THESE PRESENT WITNESSES that I/We do hereby, jointly & severally, appoint, nominate and constitute the said LSC Securities Limited as my/our true and Lawful attorneys, hereinafter referred to as 'attorneys' for me/us, in my/our name and on my/our behalf and at my/our risk and costs to do, perform or execute severally all or any of the acts, deeds, matters and things herein below specified :

1. a. To operate and maintain my/our above referred BO account(s) being held with LSC Securities Ltd., for the purpose of transfer of securities held in my/our above referred BO account(s) towards exchange(s) related margin/delivery obligations arising out of trades executed by me/us on the relevant exchange through LSC Securities Limited and or towards any other obligation(s) to LSC Securities Limited.
- b. To credit the above mentioned BO account(s) with securities due to me/us.
- c. To issue instructions to the said Depository Participant for transfer and or pledge the securities in my/our above mentioned BO account(s) for the limited purpose. (As specified in CIR/MRD/DMS/13/2010) of meeting my/our margin requirements in connection with the

trades executed by me/us on the relevant exchanges through LSC Securites Limited from time to time.

- d. To apply and sign any documents for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. as per my/our instructions on my/our behalf. Such consent may be through the internet trading facility offered by LSC Securities Limited. Further, to debit/transfer money from my/our client account ledger with LSC Securities Limited equivalent to any amount including fee, charges etc. required for applying such products and to ensure that pay order/demand draft is issued or made through any other payment mode, on my/our behalf, in name of issuer of such products alongwith the application form and do all act(s) as may be required for these purposes from time to time.
- e. To transfer securities from my/our above mentioned BO account(s) only to LSC Securities Limited BO account (s) and/or Exchange(s) related Pool & Client Margin Account of Broker, the details of which are as under :-

Name of the Company	Demat Account Details
LSC Securities Limited	NSE-CDSL - Pool A/c 1202540000000051 BSE-CDSL - Pool A/c (Pay-in) 1202540000000028 NSE-NSDL Pool A/c CMBPID - 560724 - DP ID -IN301846 BSE-NSDL Pool A/c CMBPID - 653085 - DP ID -IN301846

Or any other account as may be notified to me/us by LSC Securities Limited, as the case may be from time to time.

- f. To accept and give effect to corporate benefits accrued on my/our securities into my/our above mentioned Beneficiary owner account(s).
2. The LSC Securities Limited would return to me/us, the securities that may have been received by it erroneously or those securities that it was not entitled to receive from Me/us.
 3. I/We agree that LSC Securities Limited may send consolidated scrip wise buy and sell positions taken with average rates to me/us by way of SMS/email on a daily basis, notwithstanding any other documents to be disseminated as specified by SEBI from time to time.

AND

I/We hereby agree that all acts, deeds and things lawfully done, executed and performed by the said attorneys shall be construed as acts and things done, executed and performed by me/us and I/We undertake to ratify and confirm all and whatever the said attorneys shall lawfully do or cause to be done by me/us by virtue of the powers hereby conferred and that this power of attorney can be revoked without giving any notice to the said 'attorneys'.

The powers granted herein together with this power of attorney shall be valid and effective only upon acceptance of the grant by LSC Securities Limited in whose favour the same is granted.

This document shall be subject to the exclusive jurisdiction of the courts of law at the place of acceptance of this Power of Attorney by the Attorneys.

IN WITNESS WHEREOF I/We, the above named has hereunto set my/our hands this.....day of.....two thousand.....at.....

Executants	Witness
1. Name & Sign. <input checked="" type="checkbox"/>	1. Name & Sign.
2. Name & Sign. <input checked="" type="checkbox"/>	2. Name & Sign.

Accepted

(Signature of Power of Attorney Holder)
LSC Securities Limited

MUTUAL FUND SERVICE SYSTEM FACILITY

(Letter to be provided by the Investor to LSC SECURITIES LTD.)

LSC Securities Limited
1st Floor, LSE Building,
Feroze Gandhi Market,
Ludhiana -141 001.

Dated :

REG. :- MUTUAL FUND SERVICE SYSTEM (MFSS) FACILITY

Sir,

I/We _____ am/are registered as your client with Client Code No. _____ for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. (Exchange) dated _____

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

For the purpose of availing the MFSS 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 and I/we further confirm that the details contained in same remain unchanged as on date.

I/We are willing to abide by the terms and conditions as mentioned in the various Circular by NSE/SEBI and as may be specified by the Exchange 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 terms and conditions, rules and regulations of the Mutual Fund Schemes and be solely responsible for the same.

I/We therefore request you to register me/us as your client for participating in the MFSS.

Details of Client

Name of Client _____

PAN _____

DP Pay-in _____

Pay-out _____

Thanking you,

Your's Faithfully,

For _____

(Stamp & Signature)

⊗

TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITY

1. Pre-requisites for becoming Investor / Client for the New MFSS facility

1. The client is desirous of investing in units of mutual fund schemes through the New MFSS.
2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through LSC Securities Limited of the New MFSS.
3. The client has satisfied itself of the capacity of LSC Securities Limited to deal in Mutual Fund units and wishes to execute its instruction through LSC Securities Limited (Oral/ Written) and the client shall from time to time continue to satisfy itself of such capability of the LSC Securities Limited before executing transacting through the LSC Securities Limited.
4. The Client has approached to LSC Securities Limited with the application for availing the New MFSS facility.
5. The Client has submitted relevant KYC (Know Your Client) details to LSC Securities Limited.

2. TERMS AND CONDITIONS

1. The client shall be bound by circulars issued by NSEIL/LSC Securities Limited, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
2. The client shall notify LSC Securities Limited in writing if there is any change in the information in the 'client registration form' provided by the client to LSC Securities Limited at the time registering as a client for participating in the New MFSS or at any time thereafter.
3. The client shall submit to LSC Securities Limited a completed application form in the manner prescribed format for the purpose of placing a subscription order with LSC Securities Limited.
4. The client has read and understood the risks involved in investing in Mutual Fund Schemes.
5. The client shall be wholly responsible for all his investment decisions and instruction (Oral/ Written).
6. The client shall ensure continuous compliance with the requirements of the NSEIL, SEBI, AMFI and LSC Securities Limited.
7. The Client shall pay to LSC Securities Limited 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 LSC Securities Limited renders to the Client.
8. The client will furnish information to LSC Securities Limited 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.
9. In the event of non-performance of the obligation by LSC Securities Limited, the client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL, NSCCL or LSC Securities Limited.
10. In case of any dispute between LSC Securities Limited 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.

DECLARATION BY THE CLIENT

I/We hereby declare that I/We abide by the above stated Terms & Conditions of MFSS

Name of the Client	Signature of the Client	Date	Place
	⊗		

NOTE : In case of Firm or Company or HUF signature are required under rubber stamp.

ACCEPTANCE BY THE SUB-BROKER/AUTHORIZED PERSON

I hereby accept _____ to abide by above stated Terms & Conditions of MFSS

Name of the Sub Broker/Authorized Person	Signature of the Sub Broker/Authorized Person	Date	Place

FOR OFFICE USE ONLY

RECEIVED BY _____ **CAPTURED BY** _____ **VERIFIED BY** _____
(Sign. with Date) (Sign. with Date) (Sign. with Date)

SARAL

ACCOUNT OPENING FORM FOR RESIDENT INDIVIDUALS TRADING IN CASH SEGMENT

I KYC - Please fill this form in BLOCK LETTERS

PHOTOGRAPH

Please affix your recent passport size photograph and sign across it

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. Nationality : _____
5. a. PAN : _____ b. Aadhaar Number, if any : _____
6. Specify the proof of Identity submitted : _____

B. ADDRESS DETAILS

1. Residence/ Correspondence Address : _____ City/Town/Village : _____
Pin Code : _____ State : _____ Country : _____
2. Contact Details : Tel. (Off.) _____ Tel. (Res.) _____ Mobile No.: _____ Fax: _____ E-mail id: _____
3. Permanent Address (if different from above address): _____
City/Town/Village: _____ Pin Code : _____ State : _____ Country : _____
4. Specify the proof of address submitted for residence/correspondence/permanent address : _____

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 Date: _____ (dd/mm/yyyy)

Originals verified and Self-Attested Document copies received (.....)

Name & Signature of the Authorised Signatory
Seal/Stamp of the intermediary

Date

II OTHER DETAILS :

1. Bank account details :

Bank Name	Branch Address	Bank Account No.	Account Type : Saving/Current/	MICR Number	IFCS Code

2. Demat DP account is also to be opened with the same intermediary (Yes/No)

DP Name	NSDL/CDSL	Beneficiary Name	DP ID	BO ID

3. Whether DP account is also to be opened with the same intermediary (Yes/No)

4. Trading Preferences : Please sign the relevant boxes where you wish to trade.

Exchange	Sign	Exchange	Sign	Exchange	Sign
NSE		BSE		MSEI	

5. Mode of receiving Contract Note/ Statement of Account : Physical/Electronic (Please indicate your preference).....

6. Standing instructions to receive credits automatically into my BO account (Yes/No)

7. Nomination details (Name, PAN, Address and Phone No. of nominee); relationship with the nominee (if nominee is a minor, details of Guardian like name, address, phone no. and signature of Guardian may be obtained)

I have understood the contents of policy and procedures document, tariff sheet, 'Rights and Obligations' document and 'Risk Disclosure Document'. I do hereby agree to be bound by such provisions as outlined in these documents. I have also been informed that the standard set of documents has been displayed for information on stock broker's designated website.

_____ Signature of the Applicant Date: _____ (dd/mm/yyyy)

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

DP Name	NSDL/CDSL	Beneficiary Name	DP ID	BO ID

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

I / We undertake that I/We have made the client aware of 'Policy and Procedures', tariff sheet. I/We have also made the client aware of 'Right and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet 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.

If the client chooses to avail the demat facility from the same stock broker who is also a depository participant, the stock broker may use the same form and provide the details of the demat account opened for the said client to the client while providing a copy of the KYC document.

.....

Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

NOTE : This form is applicable for individual investors trading in the cash segment. If such investors wish to trade in segments other than cash segment and / or wish to avails facilities such as internet trading, running account, margin trading, Power of Attorney etc., they may furnish additional details required as per prescribed regulations to the concerned intermediary.

Whether you wish to receive the Following documents in electronic or physical form:

- Rights and Obligations of stock brokers, sub-broker and client for trading on exchanges (including additional rights & obligation in case of internet/wireless technology based trading)
- Rights and obligations of beneficial owner and depository participant as prescribed by SEBI and depositories.
- Uniform risk disclosure documents (for all segments/exchanges)
- Guidance note detailing do's and don'ts for trading on stock exchanges.

Physical Form

Signature

Electronic Form

Signature

I declare that I/we have received the above said documents in physical form.

Signature

FATCA-CRS DECLARATION & SUPPLEMENTARY KYC INFORMATION - DECLARATION FORM

Is your Country of Tax Residency OTHER THAN INDIA - Yes / No

If "Yes", please specify the details of all countries where you [Entity] hold tax residency and its Tax Identification Number & type

Sr. No	Country of Tax Residency#	Tax Payer Identification Number/ Functional Equivalent / Company Identification Number or Global Entity Identification Number	Identification Type [TIN or other, please specify]

Date:

Signature:

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only

Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)
 Account Type* Normal Simplified (for low risk customers) Small

1. PERSONAL DETAILS (Please refer instruction A at the end)

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (If any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Government Sector)	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional	<input type="checkbox"/> Self Employed	<input type="checkbox"/> Retired	<input type="checkbox"/> Housewife <input type="checkbox"/> Student)
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X- Not Categorised			

PHOTO

Signature / Thumb Impression

2. TICK IF APPLICABLE RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

3. PROOF OF IDENTITY (PoI)* (Please refer instruction C at the end)

(Certified copy of any one of the following Proof of Identity[PoI] needs to be submitted)

<input type="checkbox"/> A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
<input type="checkbox"/> B- Voter ID Card	<input type="text"/>		
<input type="checkbox"/> C- PAN Card	<input type="text"/>		
<input type="checkbox"/> D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
<input type="checkbox"/> E- UID (Aadhaar)	<input type="text"/>		
<input type="checkbox"/> F- NREGA Job Card	<input type="text"/>		
<input type="checkbox"/> Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
<input type="checkbox"/> S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

(Certified copy of any one of the following Proof of Address [PoA] needs to be submitted)

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)

Voter Identity Card NREGA Job Card Others please specify

Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* City / Town / Village* ISO 3166 Country Code*

4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

Line 1*
Line 2
Line 3 City / Town / Village*
District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES* (Applicable if section 2 is ticked)

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*
Line 2
Line 3 City / Town / Village*
State* ZIP / Post Code* ISO 3166 Country Code*

5. CONTACT DETAILS (All communications will be sent on provided)

T - Tel. (Res) - Mobile -
FAX - Email ID

6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative
Prefix First Name Middle Name Last Name
Name*
(If KYC number and name are provided, below details of section 6 are optional) el. (Off)

PROOF OF IDENTITY [PoI] OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number Passport Expiry Date
 B- Voter ID Card
 C- PAN Card
 D- Driving Licence Driving Licence Expiry Date
 E- UID (Aadhaar)
 F- NREGA Job Card
 Z- Others (any document notified by the central government) Identification Number
 S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

Mobile no. / Email-ID (Please refer instruction F at the end)

8. APPLICANT DECLARATION

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

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date
Emp. Name
Emp. Code
Emp. Designation
Emp. Branch

INSTITUTION DETAILS

Name
Code

[Employee Signature]

[Institution Stamp]

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form

General Instructions:

- 1 Fields marked with '**' are mandatory fields.
- 2 Tick '✓' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 **Name:** Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either **father's name or spouse's** name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 **Tax identification Number (TIN):** TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [PoI]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

- 1 PoA to be submitted only if the submitted PoI does not have an address or address as per PoI is invalid or not in force.
- 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 3 In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence / local addresses, Please fill '**Annexure A1**'

F Clarification / Guidelines on filling 'Contact details' section

- 1 Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
- 2 Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

- 1 Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [PoI] of Related Person' section

- 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence & Local Address

Important Instructions:

- A) Fields marked with '**' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only <i>(To be filled by financial institution)</i>	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update	
	KYC Number	(Mandatory for KYC update request)

1. CORRESPONDENCE / LOCAL ADDRESS DETAILS (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

2. CONTACT DETAILS (All communications will be sent on provided Mobile no./ Email-ID) (Please refer instruction F at the end)

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

3. APPLICANT DECLARATION

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

Date : - -

Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

Annexure B1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Related Person



Important Instructions:

- A) Fields marked with '**' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike of the sections not required to be updated.

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number _____ (Mandatory for KYC update request)

1. DETAILS OF RELATED PERSON (Please refer instruction G at the end)

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*) _____

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 1 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON* (Please see instruction (H) at the end)

A- Passport Number _____ Passport Expiry Date DD - MM - YYYY

B- Voter ID Card _____

C- PAN Card _____

D- Driving Licence _____ Driving Licence Expiry Date DD - MM - YYYY

E- UID (Aadhaar) _____

F- NREGA Job Card _____

Z- Others (any document notified by the central government) _____ Identification Number _____

S- Simplified Measures Account - Document Type code _____ Identification Number _____

2. APPLICANT 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 / Thumb Impression]

Signature / Thumb Impression of Applicant

Date : DD - MM - YYYY Place : _____

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY	INSTITUTION DETAILS
Date DD - MM - YYYY	Name _____
Emp. Name _____	Code _____
Emp. Code _____	[Institution Stamp]
Emp. Designation _____	
Emp. Branch _____	
_____ [Employee Signature]	

