

# Account Opening/DP Form (Individual & Non-Individual)



# smart

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Think Growth, Think Smart

[www.smartequity.in](http://www.smartequity.in)

**A. IMPORTANT POINTS:**

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

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

- Unique Identification Number (UID) (Aadhaar) / Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- 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.)**

- Unique Identification Number (UID) (Aadhaar) / Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook - Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- 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.
- 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.
- 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.)**

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs. 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the

intermediary.

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

- 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).
  - In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.
- F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

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

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

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

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

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

- 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.
- Demat master or recent holding statement issued by DP bearing name of the client.
- 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.
- 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.

**ACCOUNT OPENING KIT**
**INDEX**

S.No.	Name of the Document	Brief Significance of the Document	Page No.
<b>MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI &amp; EXCHANGES</b>			
1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	1-6
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/ check list.	7-9
2.	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	L 1-6
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	L 7-10
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	L 11-12
5.	Policies and Procedure	Document describing significant policies and procedures of the stock broker.	17-21 & L13 - L19
6.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	22
7.	*Depository Account Opening Form	A. Document captures the additional information about the constituent relevant to demat account and an instruction/ check list.	10-16
		B. Schedule of Charges for Depository Services	
		C. Rights and Obligations of Beneficial Owner and Depository Participant.	L 20-22
*Mandatory if demat account to be opened			
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
8.	Running Account Authorisation	Document authorizing Stock Broker/Trading Member to maintain the running account of funds and securities in the manner mentioned therein	23
9.	Verbal Order Acceptance Authorisation	Document authorizing Stock Broker/Trading Member to accept verbal orders in the manner mentioned therein	24
10.	Request for Trade Alerts through SMS and/or E-mail	Document requesting trade alerts through SMS &/or Email from Exchanges.	25
11.	Authority Letter to Pledge the securities	Document authorizing stock broker to pledge clients securities lying towards margin / collateral.	25
12.	Option for issuance of DIS booklet (Only for POA clients)	Document confirming client(s) consent on opting for issuance of DIS booklet with account opening OR by request at any later date.	26
13.	Authorization For Sharing Personal Information	Document authorizing stock broker to share personal information to receive offers and information on various products/services etc.	26
14.	Voluntary Additional Terms & Conditions for availing Depository Services.	Additional Terms & Conditions for availing depository services	27
15.	Letter of Authority	Authorisation for instruction by third person	29
16.	Limited Purpose Power of Attorney	Document authorizing stock broker to operate client demat account towardstrading obligations.	31-32
17.	ECS Form (to be submitted with banker)	Document authorizing to debit depository/other charges electronically from bank.	33
18.	HUF	Declaration by karta & all co-parceners in case of huf account	34

Name of stock broker/trading member/clearing member: Smart Equity Brokers (P) Ltd.

Name of Stock Exchange and Depository	SEBI Registration Number and Date
National Stock Exchange of India Limited	<b>Cash</b> -INB 231278236   7-12-2006 <b>F&amp;O</b> -INF 231278236  7-12-2006 <b>Currency Derivatives</b> -INE 231278236   6-9-2010
BSE Limited	<b>Cash</b> - INB 011278232   7-12-2006 <b>F&amp;O</b> - INF 011278232   8-5-2007
MCX Stock Exchange Limited	<b>Cash</b> -INB 261278239   3-5-2013 <b>F&amp;O</b> -INF 261278239   3-5-2013 <b>Currency Derivatives</b> -INE 261278236   13-07-2009
National Securities Depository Limited	<b>DP ID</b> : IN303948   13-06-2011

**Registered Office Address**  
**CIN: U93091DL2006PTC148544**  
F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027  
Ph: T: +91-11-45004400 | Fax: +91-11-28161624 | E-mail :info@smartequity.in | Website: www.smartequity.in

Compliance Officer Details	CEO Details
Name : Diwan Singh Phone No. : 011-45004418 Email Id : compliance@smartequity.in	Name : Sanjay Periwal Phone No. : +91-11-45004425, Mobile +91 8510074777 Email Id : sanjay@smartequity.in

**For any grievance/dispute please contact Smart Equity Brokers (P) Ltd. at the above address or email id:** investorgrievances@Smartequity.in and Phone No. T: 011-45004400. In case not satisfied with the response, please contact the concerned exchange(s) at :

Exchange Name	Email id	Phone No.
NSE	ignse@nse.co.in	022-26598100
BSE	is@bseindia.com	022-22721233/34
MCX-SX	investorcomplaints@mcx-sx.com	022-67318933

Senior Manager, Investor Services Centre,  
MCX Stock Exchange Limited, Exchange Square, Suren Road, Chakala, Andheri(East), Mumbai-400 093

### ACKNOWLEDGEMENT

I/We acknowledge receipt of the documents at serial 2, 3, 4, 5 & 7(C) mentioned overleaf under INDEX. I/We have read the contents of these and agree to abide by them. I/We further understand that the copies of rest of the documents mentioned in Index shall be provided to me/us after Verification/ Acceptance / Execution by the broker and Depository Participant.



Sole/First Holder Signature



Second Holder Signature



Third Holder Signarure



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

**Smart Equity Brokers (P) Ltd.**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

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

A. IDENTITY DETAILS												PHOTOGRAPH			
Name of the Applicant:												<p style="font-size: small; text-align: center;">Please affix your recent passport size photograph and sign across it</p>			
Father's/ Spouse Name:															
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female		Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married		Date of Birth	DD / MM / YYYY								
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others .....			Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National										
PAN				Aadhar Number, if any											
Specify the proof of Identity submitted :												<input type="checkbox"/> Pan Card		<input type="checkbox"/> Any other (please specify) .....	

B. ADDRESS DETAILS											
Residence Address :											
City/Town/Village:			Pin Code			State			Country		
Specify the proof of address submitted for residence address :											
Contact Details:		Tel. (off)		with STD code		Tel. (Res.)		with STD code		Mobile No.	
		Fax No.		with STD code		E-mail Id					
Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)											
City/Town/Village:			Pin Code			State			Country		
Specify the proof of address submitted for 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

#### FOR OFFICE USE ONLY

Original verified and Self-Attested Document copies received

(Seal/Stamp of intermediary)

Staff Name : .....
Designation : .....
Name of Organisation : <b>Smart Equity Brokers (P) Ltd.</b>
Signature : .....
Date : .....

<b>IPV Done</b> <input type="checkbox"/> on	D D M M Y Y Y Y
Name of Intermediary : <b>Smart Equity Brokers (P) Ltd.</b>	
Staff Name : .....	
Staff/AP/Sub Broker: .....	
Designation : .....	
Name of Organisation : .....	
Signature : .....	
Date : .....	

**A. IMPORTANT POINTS:**

- Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
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**B Proof of Identity (POI):** - List of documents admissible as Proof of Identity:

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of such verified PAN details to the intermediary.

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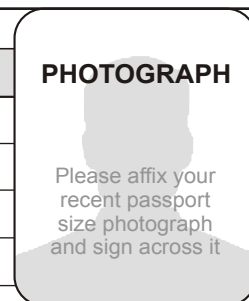
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Partnership Firm	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered partnership firms only).</li> <li>Copy of partnership deed.</li> <li>Authorized signatories list with specimen signatures.</li> <li>Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>Certificate of registration (for registered trust only).</li> <li>Copy of Trust deed.</li> <li>List of trustees certified by managing trustees/CA.</li> <li>Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>PAN of HUF.</li> <li>Deed of declaration of HUF/ List of coparceners.</li> <li>Bank pass-book/bank statement in the name of HUF.</li> <li>Photograph, POI, POA, PAN of Karta.</li> </ul>
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## KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)

**Smart Equity Brokers (P) Ltd.**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

<b>Please fill this form in ENGLISH and in BLOCK LETTERS.</b>											
<b>A. IDENTITY DETAILS</b>											
Name of the Applicant											
Date of Incorporation		dd / mm / yyyy			Place of Incorporation						
Date of commencement of business		dd / mm / yyyy									
PAN		Registration No. (e.g. CIN)									
Status (Please tick any one)		<input type="checkbox"/> Private Limited Co.		<input type="checkbox"/> Public Ltd. Co.		<input type="checkbox"/> Body Corporate		<input type="checkbox"/> Partnership <input type="checkbox"/> Trust		<input type="checkbox"/> Charities <input type="checkbox"/> NGO's	
		<input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF		<input type="checkbox"/> AOP <input type="checkbox"/> Bank		<input type="checkbox"/> Government Body		<input type="checkbox"/> Non-Government Organization		<input type="checkbox"/> BOI	
		<input type="checkbox"/> Defense Establishment		<input type="checkbox"/> Society <input type="checkbox"/> LLP		<input type="checkbox"/> Others (please specify).....					



<b>B. ADDRESS DETAILS</b>											
Address for Correspondence											
City/Town/Village:		Pin Code			State		Country				
Specify the proof of address submitted for correspondence address :											
Contact Details:		Tel. (off)		with STD code		Tel. (Res.)		with STD code		Mobile No.	
		Fax No.		with STD code		E-mail Id					
Registered Address (if different from above)											
City/Town/Village		Pin Code			State		Country				
Specify the proof of address submitted for registered address:											

<b>C. OTHER DETAILS</b>									
Name, PAN, residential address and photographs of Authorised Signatory(ies) Promoters/Partners/Karta/Trustees and whole time directors					Please use the Annexure on Page No. T-2 to fill in the details.				
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 of the Authorised Signatory(ies)

**Date:** DD / MM / YYYY

### FOR OFFICE USE ONLY

- Original verified and Self-Attested  
 Document copies received

Staff Name	.....
Designation	.....
Name of the Organisation	<b>Smart Equity Brokers (P) Ltd.</b>
Signature	.....
Date	.....

(Seal/Stamp of intermediary)

**A. IMPORTANT POINTS:**

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

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

- Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
- PAN card with photograph.
- 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.)

- Unique Identification Number (UID) (Aadhaar) / Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
- Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
- Bank Account Statement/Passbook -- Not more than 3 months old.
- Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
- Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
- 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.
- 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.
- 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.)

- 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.
- Investors residing in the state of Sikkim.
- UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
- SIP of Mutual Funds upto Rs. 50,000/- p.a.
- In case of institutional clients, namely, FIIs, MFs, VCFs, FVCLs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies

of such verified PAN details to the intermediary.

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

- 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).
  - In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.
- F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

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



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

<b>Name of Applicant</b>																					
<b>PAN of the Applicant</b>	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td> </tr> </table>																				

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

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

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

\*DIN for Director / Aadhaar No. for others

<b>Name &amp; Signature of the Authorised Signatory(ies)</b>
<div style="border: 1px solid black; width: 100%; height: 100%;"></div>

Date 

D	D	M	M	Y	Y	Y	Y
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<b>IPV Done</b> <input type="checkbox"/> on	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width:20px;">D</td><td style="width:20px;">D</td><td style="width:20px;">M</td><td style="width:20px;">M</td><td style="width:20px;">Y</td><td style="width:20px;">Y</td><td style="width:20px;">Y</td><td style="width:20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Name of Intermediary : <b>Smart Equity Brokers (P) Ltd.</b>									
Staff Name	: .....								
Staff/AP/Sub Broker	: .....								
Designation	: .....								
Name of Organisation	: .....								
Signature	: .....								
Date	: .....								

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

<b>Name of Applicant</b>																					
<b>PAN of the Applicant</b>	<table border="1" style="width:100%; border-collapse: collapse;"> <tr> <td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td><td style="width:5%;"> </td> </tr> </table>																				

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

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

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

\*DIN for Director / Aadhaar No. for others

<b>Name &amp; Signature of the Authorised Signatory(ies)</b>

Date 

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

<b>IPV Done</b> <input type="checkbox"/> on	<table border="1" style="display:inline-table; border-collapse: collapse;"> <tr> <td style="width:20px;">D</td><td style="width:20px;">D</td><td style="width:20px;">M</td><td style="width:20px;">M</td><td style="width:20px;">Y</td><td style="width:20px;">Y</td><td style="width:20px;">Y</td><td style="width:20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y		
Name of Intermediary : <b>Smart Equity Brokers (P) Ltd.</b>									
Staff Name	: .....								
Staff/AP/Sub Broker	: .....								
Designation	: .....								
Name of Organisation	: .....								
Signature	: .....								
Date	: .....								

**ADDITIONAL INFORMATION RELATED TO TRADING ACCOUNT**
**A. BANK ACCOUNT(S) DETAILS**

Bank Name	Branch Address	Bank Account No.	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

**B. DEPOSITORY ACCOUNT(S) DETAILS**

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

**C. OTHER DETAILS**

Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore Net- worth Amount (₹)..... As on (date) (___/___/20___) (Net worth should not be older than 1 year)
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others.....
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)
Any other information	

**D. TRADING PREFERENCES**

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

EXCHANGE	SEGMENTS				
NSE	Sign if applicable	Sign if applicable	Sign if applicable	Sign if applicable	Sign if applicable
	<b>Cash</b>	<b>F&amp;O</b>	<b>Currency</b>	Name of other Segments, if any	Name of other Segments, if any
BSE	Sign if applicable	Sign if applicable	Sign if applicable	Sign if applicable	Sign if applicable
	<b>Cash</b>	<b>F&amp;O</b>		Name of other Segments, if any	Name of other Segments, if any
MCX-SX	Sign if applicable	Sign if applicable	Sign if applicable	Sign if applicable	Sign if applicable
	<b>Cash</b>	<b>F&amp;O</b>	<b>Currency</b>	Name of other Segments, if any	Name of other Segments, if any

# 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. \*\* Currency derivative segment include interest rate future.

### E. 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, give details (attach annexure if required).....

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

If client is dealing through the sub-broker, provide the following details:

Sub-broking's Name:			
SEBI Registration Number:			
Registered office address:			
Phone:	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:			

### G. 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):	<input type="checkbox"/> Browser Based <input type="checkbox"/> EXE Based <input type="checkbox"/> Wireless Trading
Number of years of Investment/Trading Experience:	
In case of non-individual, name designation, PAN, UID, signature, residential address and photograph of persons authorized to deal in securities on behalf of company/firm/others (attach annexure if require) :	
Any other information:	

### H. INTRODUCER DETAILS (optional)

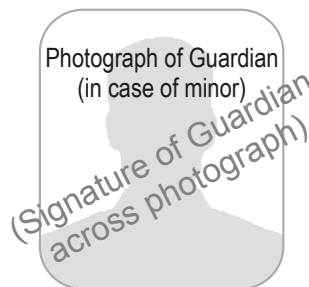
Name of the Introducer:	
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others (please specify):.....
Address of the Introducer:	
Phone No. of Introducer:	
Signature of the Introducer:	

### I. NOMINATION DETAILS (for individuals only)

<input type="checkbox"/> I/We wish to nominate	<input type="checkbox"/> I/We do not wish to nominate
Name of the Nominee:	
Relationship with the Nominee:	PAN of Nominee:
Address of the Nominee:	
Date of Birth of Nominee:	dd / mm / yyyy      Phone No. of Nominee:



If Nominee is a minor, details of guardian:			
Name of Guardian:			
Address of the Guardian:			
Phone No. of Guardian:		Signature of the Guardian:	



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

Name		Name	
Signature		Signature	
Address		Address	

**DECLARATION**

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
3. I/We further confirm having read and understood the contents of the 'Right and Obligations' document(s) and 'Risk Disclosure Document'. I/we do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.



Date:.....

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

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: .....

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee / AP / SB			
Employee Code			
Designation of the Employee / AP / SB			
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 'Right and Obligations' document(s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Right and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.*

Seal/Stamp of the stock broker  
\*AP: Authorized Person SB: Sub-broker

Signature of the Authorised Signatory  
Date : .....

## DEMAT ACCOUNT OPENING FORM (For Individuals)

**Smart Equity Brokers (P) Ltd. (NSDL-DP-ID-IN303948)**

**CIN: U93091DL2006PTC148544**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Ph.: 011-45004400 | Fax:011-28161624 | E-mail : info@smartequity.in | Website : www.smartequity.in

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)

Client Id :		To be filled by participant				Date :	dd / mm / yyyy
-------------	--	-----------------------------	--	--	--	--------	----------------

### DETAILS OF ACCOUNT HOLDER(S)

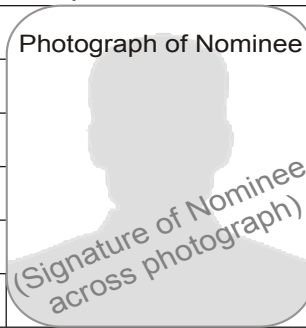
<b>Sole/First Holder Name</b>								PAN											
Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> More than ₹ 25 Lac OR Net- worth Amount (₹)..... As on (date) (___/___/20___) (Net worth should not be older than 1 year)																		
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others.....																		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)																		
Any other information																			

<b>Second Holder Name</b>								PAN											
Gross Annual Income Details (please specify)	Income Range per annum <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 OR Net- worth Amount (₹)..... As on (date) (___/___/20___) (Net worth should not be older than 1 year)																		
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others.....																		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)																		
Any other information																			

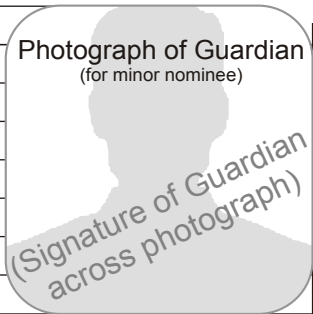
<b>Third Holder Name</b>								PAN											
Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1-5 Lac <input type="checkbox"/> ₹ 5-10 Lac <input type="checkbox"/> ₹ 10-25 Lac <input type="checkbox"/> More than ₹ 25 Lac OR Net- worth Amount (₹)..... As on (date) (___/___/20___) (Net worth should not be older than 1 year)																		
Occupation (please tick any one and give brief details):	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others.....																		
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)																		
Any other information																			

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 be mentioned below:

<b>Name</b>								PAN											
-------------	--	--	--	--	--	--	--	-----	--	--	--	--	--	--	--	--	--	--	--

<b>Type of Account</b>		<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Promoter <input type="checkbox"/> Margin <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (Please specify).....											
<b>In case of NRI's / Foreign Nationals</b>													
RBI Approval Reference No.								RBI Approval Date		dd / mm / yyyy			
<b>BANK DETAILS</b>													
Bank Account Type		<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify).....											
Bank Account No.													
Bank Name													
Branch Address										Pin Code			
		City / Town / Village								State		Country	
MICR Code						IFSC							
<b>STANDING INSTRUCTIONS</b>													
I/We authorise you to receive credits automatically into my/our account						<input type="checkbox"/> Yes <input type="checkbox"/> No							
Account to be operated through Power of Attorney (PoA)						<input type="checkbox"/> Yes <input type="checkbox"/> No							
SMS Alert Facility : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC application form]													
Sole / First Holder		<input type="checkbox"/> Yes <input type="checkbox"/> No		Second Holder		<input type="checkbox"/> Yes <input type="checkbox"/> No		Third Holder		<input type="checkbox"/> Yes <input type="checkbox"/> No			
<b>GUARDIAN DETAILS</b> (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 :													
<b>NOMINATION OPTION</b>													
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below]						<input type="checkbox"/> I/We do not wish to make a nomination. [Strike off the nomination details below]							
<b>Nomination Details</b>													
I/We wish to make a nomination and do hereby nominate the following person in whom all rights and/or amount payable in respect of securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my / our death.													
1. Name of the Nominee (Mr./Ms.)										 Photograph of Nominee (Signature of Nominee across photograph)			
2. Relationship with the applicant (if any)													
3. Address of Nominee													
City / Town / Village						Pin Code							
State						Country							
4. Contact Details of Nominee		Tel. (Off.)		with STD code				Tel. (Res.)		with STD code			
		Fax No.		with STD code				Mobile No.					
		Email Id											
5. Signature of Nominee													

To be filled-up (Sr. No. 6-11) only if Nominee is a minor :					
6. Date of Birth (in case of minor nominee) :		dd / mm / yyyy			
7. Name of Guardian (Mr./Ms.)		(in case of minor nominee)			
8. Address of Guardian					
City / Town / Village		Pin Code			
State		Country			
9. Contact Details of Guardian	Tel. (Off.)	with STD code		Tel. (Res.)	
	Fax No.	with STD code		Mobile No. with STD code	
	Email Id				
10. Relationship of Guardian with nominee			11. Signature of Guardian		



Signature of two Witnesses for nomination		
Name of Witness	Address	Signature of Witness with date
1.		
2.		

### 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. I 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.

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

### 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 8<sup>th</sup> 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 own 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.
- Strike off whichever is not applicable.
- In case applicant wish to apply for BSDA/RGESS services, he/she shall submit additional request form as prescribed by regulatory authority from time to time.



## DEMAT ACCOUNT OPENING FORM (For Non-Individuals)

**Smart Equity Brokers (P) Ltd. (NSDL-DP-ID-IN303948)**

**CIN: U93091DL2006PTC148544**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Ph.: 011-45004400 | Fax:011-28161624 | E-mail : info@smartequity.in | Website : www.smartequity.in

We request you to open a Depository Account in our name as per the following details: (Please fill all the details in CAPITAL LETTERS only)

Client Id :	To be filled by participant				Date :	dd / mm / yy yy
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### DETAILS OF ACCOUNT HOLDER(S)

<b>Sole/First Holder Name</b>	PAN
-------------------------------	-----

Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore Net- worth Amount (₹)..... As on (date) ( ___/___/20___ ) (Net worth should not be older than 1 year)
--	--

<b>Second Holder Name</b>	PAN
---------------------------	-----

Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore Net- worth Amount (₹)..... As on (date) ( ___/___/20___ ) (Net worth should not be older than 1 year)
--	--

<b>Third Holder Name</b>	PAN
--------------------------	-----

Gross Annual Income Details (please specify)	Income Range per annum <input type="checkbox"/> Below ₹1 Lac <input type="checkbox"/> ₹1-5 Lac <input type="checkbox"/> ₹5-10 Lac <input type="checkbox"/> ₹10-25 Lac <input type="checkbox"/> ₹25 Lac -1 Crore <input type="checkbox"/> More than ₹1Crore Net- worth Amount (₹)..... As on (date) ( ___/___/20___ ) (Net worth should not be older than 1 year)
--	--

<b>Type of Account</b>	<input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust <input type="checkbox"/> Bank <input type="checkbox"/> CM <input type="checkbox"/> Others (Please specify).....
------------------------	---

For HUF, Partnership Firm, Unregistered Trust, Association of Persons (AOP), etc., although the account is opened in the name of the karta, partner(s), trustee(es) etc., the name & PAN of the HUF, Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below:

<b>Name</b>	PAN
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In case of FIIs / Others (as may be applicable)	
---	--

RBI Approval Reference No.	
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RBI Approval Date	dd / mm / yyyy	SEBI Registration Number (for FIIs)	
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### BANK DETAILS

Bank Account Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify).....
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Bank Account No.	
------------------	--

Bank Name	
-----------	--

Branch Address	
----------------	--

		Pin Code
--	--	----------

	City / Town / Village	
--	-----------------------	--

	State	Country	
--	-------	---------	--

MICR Code		IFSC	
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CLEARING MEMBER DETAILS (to be filled up by Clearing Members only)	
Name of Stock Exchange	
Name of Clearing Corporation / Clearing House	
Clearing Member ID	
SEBI Registration Number	
Trade Name	
CM-BP ID ( to be filled up by Participant)	

STANDING INSTRUCTIONS							
We authorise you to receive credits automatically into our account	<input type="checkbox"/> Yes <input type="checkbox"/> No						
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No						
SMS Alert Facility :	<table border="1"> <tr> <td>Sole / First Holder</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td>Second Holder</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td>Third Holder</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> </table>	Sole / First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
Sole / First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No		

**DECLARATION**

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it.

**Authorised Signatories (Enclose a Board Resolution for Authorised Signatories)**

Sole/First Holder	Name	Signature(s)
First Signatory		
Second Signatory		
Third Signatory		

Other Holders	Name	Signature(s)
Second Holder		
Third Holder		

Mode of Operation for Sole / First Holder (In case of Joint holdings, all the holders must sign)	
<input type="checkbox"/> Any one Singly	<input type="checkbox"/> Jointly by
<input type="checkbox"/> As per resolution	<input type="checkbox"/> Others (please specify)

**Notes:**

- In case of additional signatures, separate annexures should be attached to the application form.
- 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.
- Strike off whichever is not applicable.

**SCHEDULE – A: SCHEDULE OF CHARGES FOR DEPOSITORY SERVICES (w.e.f. 1st March, 2014)**

PARTICULARS	CHARGE STRUCTURE	
<b>ACCOUNT OPERATIONS</b>		
Account Opening Annual Maintenance Charges	<b>NIL</b>	
<b>NIL AMC SCHEME</b>	<input type="checkbox"/> “LIBERTY” account with non- refundable one time subscription fee of ₹ 1111/- (₹ 1250/- inclusive of service tax)	
<b>AMC SCHEMES</b>	<input type="checkbox"/> <b>Digital Statements</b>	<input type="checkbox"/> <b>Physical Statements</b>
	Second year onwards ₹ 200/- per annum (Email id mandatory)	Second year onwards ₹ 250/- per annum
	<i>In case of corporate account, AMC (as per scheme selected above) plus applicable statutory charges (currently ₹500/- AMC as charged by NSDL) would be additionally levied.</i>	
• Documentation Charges (Stamp Paper and other charges)	As per actual	

**TRANSACTION CHARGES**

• Credit	NIL
• Debit - Delivery Given to Smart Pool/Margin Account - Delivery Given to any other Account	₹ 11/- for Client with POA / ₹ 20/- for Client without POA ₹ 20/- per debit or 0.01% of the value of transaction whichever is higher.
<b>Dematerialization</b> Demat Processing Charges	₹ 20 Plus ₹ 3 per certificate Subject to Max. ₹ 250/-
Conversion of Mutual Fund units represented by SOA into Demat	₹ 20/- per request
Courier Charges for Demat/Remat/Repurchase/ Redemption Conversion of Mutual Fund units represented by SOA/ Reconversion of Mutual Fund units into SOA	₹ 30/- per request
Demat Rejection Charges	₹ 30/- per rejection
Rematerialisation/Repurchase/Redemption of Mutual Fund/ Reconversion of Mutual Fund units into SOA Charges	₹ 20/- per request + NSDL Charges
Pledge/ Hypothecation (per transaction) Creation/ closure/ Confirmation/ Invocation	₹ 50/- per request or 0.01% of the value of securities whichever is higher
Freeze/Unfreeze Instruction	₹ 50/- per request
Delivery Instruction Booklet	₹ 25/- per book (for 20 leaves)

**Terms & Conditions :**

- Client will be required to pay ₹ 300/- security amount towards depository charges that the company would charge pursuant to the transactions executed by the client. Client needs to replenish the balance immediately when it falls below ₹ 300/-
- For all payments cheque should be in favor of “Smart Equity Brokers (P) Ltd.”
- Depository charges of Broking Client will be debited to their trading account.
- Any other service, which is not mentioned above, will be charged separately as per the rates applicable from time to time. Out of pocket expenses including courier charges for overseas consignment will be charged extra on actual basis.
- The value of transactions will be in accordance with rates provided by NSDL.
- All charges are payable on monthly basis and delayed payment will be liable for interest @ 2% per month.
- An amount of ₹ 100/- shall be charged if DIS reissuance request is received on plain paper and DIS booklet is reported lost.
- Changes in Client Master Details ₹ 50/- per modification shall be charged.
- Smart may suspend/freeze the depository services of the account holder on non-payment of outstanding bills.
- Any additional charges/taxes/statutory levies, charged by statutory authority as and when applicable will be levied.
- In case, client wish to opt for BSDA services, the above schedule of charges will get amended as per regulatory guidelines.

Any other specific charges structure : Smart \_\_\_\_\_



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

**Smart Equity Brokers (P) Ltd.**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Dear Sir,

As per clause 13, 14, 15 & 16 of Rights and Obligations of Beneficial Owner and Depository Participant you are required to provide me/us transaction statement including statement of account.

1. I/we understand that, I/we have the option to receive transaction statement by email or on website. In pursuance of the same, I/we hereby opt for receipt of transaction statement (including but not limited to statement of account holding statement or any other communication) through email or on website.
2. I/we is/are aware that I/we will not receive the transaction statement in paper form.
3. I/we will take all the necessary means to ensure confidentiality and secrecy of the login name and password of the internet/email account.
4. I/we, is/are aware that the transaction statement may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised, in which case I/we shall not hold you responsible in any manner.
5. I/we shall immediately inform the DP about change in email address if any, in case transaction statements are send by email.
6. I/we/you shall have the right to terminate this service by giving a 10 days written notice in advance.

I/We acknowledge the receipt of copy of the document, "Right and Obligations of the Beneficial Owner and Depository Participant"

Thanking you,

Yours faithfully



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature



## POLICIES & PROCEDURE

### 1. Refusal of orders for penny stocks,

- a. The broker may from time to time limit (quantity/ value) / refuse orders in one or more securities due to various reasons including market liquidity, value of security (ies), the order being for securities which are not in the permitted list of the broker / exchange(s) / regulator. Provided further that broker may require compulsory settlement / advance payment of expected settlement value/delivery of securities for settlement prior to acceptance / placement of order(s) as well. The client is aware that such refusal or delay caused by limit imposed may result into losses.
- b. The broker may require reconfirmation of orders, which are larger than that specified by the broker's risk management, and broker would have full discretion to reject the execution of such orders based on its risk perception.

### 2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.

- a. The broker may from time to time impose and vary limits on the orders that the client can place through the broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the broker may need to vary or reduce the limits or impose new limits urgently on the basis of the broker's risk perception and other factors considered relevant by the broker including but not limited to limits on account of exchange/ regulatory directions/ limits (such as broker level/ market level limits in security specific / volume specific exposures etc.), and the broker may be unable to inform the client of such variation, reduction or imposition in advance. The client understands that under those circumstances the orders of the client have to be in accordance with revised parameters, which may even result into loss to the client.
- b. The client is not entitled to trade without adequate margin / security and that it shall be his / her / its responsibility to ascertain beforehand the margin / security requirements for his / her /its orders / trades /deals and to ensure that the required margin / security is made available to the broker in such form and manner as may be required by the broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the broker intimates such short fall in the margin to the client, make up the shortfall suo moto immediately.

The client further agrees that he /she /it shall be responsible for all orders (including any orders that may be executed without the required margin in the client's account) &/ or any claim / loss/ damage arising out of the non-availability /shortage of margin /security required by the broker & / or exchange &/or regulator.

- c. The broker is entitled to vary the form (i.e., the replacement of

the margin / security in one form with the margin / security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin & / or security required to be deposited / made available, from time to time. The margin /security deposited by the client with the broker are not eligible for any interest unless specifically agreed to.

- d. The client is aware that in the event of client dealing on multiple exchanges / multiple segments of the exchange, the broker may in order to meet client's margin / pay out obligation arising across segments / exchanges include /appropriate any /all pay out of funds & / or securities towards margin / security . The broker may transfer funds &/ or securities from his account for one exchange & / or one segment of the exchange to his / her / its account for another exchange & / or another segment of the same exchange whenever applicable and found necessary. The broker may treat / adjust his / her/ its margin / security lying in one exchange & / or one segment of the exchange / towards the margin / security / pay in requirements of another exchange & / or another segment of the exchange.
- e. The broker is entitled to disable / freeze the account & / or trading facility / any other service facility, if, the broker has reasons to believe that the client has committed a crime / fraud or has acted in contradiction of this agreement or / is likely to evade / violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the broker so apprehends.

### 3. Applicable brokerage rate

- a. The broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:
  - i. The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market/ Futures/Currency and Interest rate futures segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale / purchase value of a share is Rs.10/- or less in capital market segment, a maximum brokerage of 25 paise per share may be collected.
  - ii. Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby further clarified that brokerage on options contracts shall not exceed 2.5% of the premium amount or Rs. 100/- (per lot) whichever is higher.

### 4. Imposition of penalty/delayed payment charges by either party, specifying the rate and the period.

- a. Client should ensure full payment of all margins including those on derivatives transactions and should also not keep account in debit, in the event any amounts are overdue from the client towards trading or margin or on account of any other reason the broker will charge 21% per annum to client as

*Continued on next page*

- delayed payment charges. As the cost of funds to the broker varies depending on economic conditions the rates shall be determined from time to time and will be communicated through email, SMS, web-site (CRN facility), periodic a/c and other statements etc.
- b. The client should not indulge in trading activity which is against law, rules and regulations. Clients trading activity should not be aimed at disturbing market equilibrium or manipulating market prices etc. If the client does so, the broker may keep in abeyance the payout funds or securities till such time that the client has been able to clearly demonstrate that his actions were not malafide in any manner.
  - c. The broker may impose fines / penalties for any orders / trades / deals / actions of the client which are contrary to this agreement / rules / regulations / bye laws of the exchange or any other law for the time being in force. Further where the broker has to pay any fine or bear any punishment from any authority in connection with / as a consequence of / in relation to any of the orders / trades / deals / actions of the client, the same shall be borne by the client. The client agrees to pay to the broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the exchanges (including any amount due on account of reassessment / backlogs etc.), transaction expenses, stamp duty, STT and service tax, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account / transactions / services that the client avails from the broker.
- 5. The right to sell client's securities or close client's positions, without giving notice to the client, on account of non-payment of client's dues (This shall be limited to the extent of settlement/margin obligation).**
- a. The broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The Client is aware that non-availability / short availability of funds / securities by the client in the designated account(s) of the broker for meeting payin obligation of either funds or securities may result into loss to the client. Further if the client gives orders / trades in the anticipation of the required securities being available subsequently for pay in through anticipated pay out from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities / funds for pay in for any reason whatsoever including but not limited to any delays / shortages at the exchange or broker level etc the same may also result into losses.
  - b. The client understands that the benefit of any bank instrument deposited by the client towards his margin /security / payin obligation may be given on realization of the same. The broker will try to deposit the instrument for clearing in its bank account on best effort basis.
- c. Where the margin /security is made available by way of securities or any other permissible property, the broker may decline its acceptance as margin / security & / or to accept it at such reduced value as the broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other suitable method . The broker may cancel pending orders and sell/close/liquidate all open positions/ securities/ shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The broker may prescribe stipulated margin percentage depending upon the market condition. The client is aware that such sale/ close out/ square off may result into losses.
  - d. In case open position (i.e. short/long) gets converted into delivery due to non-square off because of any reason whatsoever, the client will provide securities/funds to fulfill the pay-in obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any.
  - e. The broker is entitled to prescribe the date and time by which the margin / security is to be made available and the broker may not be able to give benefit of the same towards margin / security after such deadline for margin/security expires. Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/ security or to meet the funds/margins/ securities pay in obligations for the orders / trades / deals of the client within the prescribed time and form, the broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:
    - i. To with hold any payout of funds/ securities.
    - ii. To with hold /disable the trading / dealing facility to the client.
    - iii. To liquidate one or more security(s) of the client by selling the same at market rates. It is agreed and understood by the client that securities here includes securities which are pending delivery/receipt.
    - iv. To liquidate / square off partially or fully the position of sale & / or purchase in any one or more securities / contracts in such manner and at market rate.
    - v. To take any other steps which in the given circumstances, the broker may deem fit. The client agrees that the loss(es) if any, on account of any one or more steps as enumerated herein above being taken by the broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the broker.
- 6. Shortages in obligations arising out of internal netting of trades :**
- a. The broker shall not be obliged to deliver any securities or pay

*Continued on next page*

any money to the client unless and until the same has been received by the broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his / her/ its obligations first. The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- b. The short delivering client is debited by an amount equivalent to 20% above of closing rate of day prior to Pay-in/Payout Day. The securities delivered short are purchased from market on T+2 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client along with reversal entry of provisionally amount debited earlier.
- c. If securities cannot be purchased from market due to any force majeure condition, the short delivering seller is debited at the closing rate on T+2 day or Auction day on Exchange +10%. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- d. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure /record date, would be compulsorily closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day.

**7. Temporarily suspending or closing a client's account at the client's request.**

The client may request the broker to temporarily suspend his account, broker may do so subject to client accepting / adhering to conditions imposed by broker including but not limited to settlement of account and/ or other obligation. The broker can withhold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

**8. Deregistering a client.**

- a. The broker shall be entitled to suspend the account of client with immediate effect & if need be deregister the client in any of the following circumstances:
  - i. If the actions of the client are prima facie illegal / improper or such as to manipulate the price of any securities or disturb the normal /proper functioning of the market, either alone or in conjunction with others.
  - ii. If there is any commencement of a legal process against the client under any law in force;
  - iii. On the death/lunacy or other disability of the client;
  - iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the client;

- v. If the client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the client being a partnership firm, has any steps taken by the client and/ or its partners for dissolution of the partnership;
- vii. If the client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the client has made any material misrepresentation of facts, Including (without limitation) in relation to the Security;
- ix. If there is reasonable apprehension that the client is unable to pay its debts or the client has admitted its inability to pay its debts, as they become payable;
- x. If the client suffers any adverse material change in his / her / its financial position or defaults in any other agreement with the broker;
- xi. If the client is in breach of any term, condition or covenant with the broker.
- xii. If any covenant or warranty of the client is incorrect or untrue in any material respect;

**9. Other significant policies and procedures**

**a. Proprietary Trading**

The broker does undertake proprietary trading.

**b. Trading Related**

- i. The relationship being established between the client and the broker shall be that of principal and agent and the broker shall be the agent of the client. The client is required to make independent enquiries and satisfy himself that he is entitled to enter into the broker client relationship with the broker in the jurisdiction in which the client resides.
- ii. The broker recommends that client places orders in writing and takes acknowledgement as per the format available from the broker, so as to avoid any future disputes. The client may also choose to place orders verbally (by visiting the branch or through telephone), through e-mail, SMSs and /or through Internet based trading terminal which can be provided to the client upon requirement of client. The client may authorize his authorized representative to carry out the above whose orders shall be binding on the client.
- iii. The broker advises that it is preferable that client gives orders on the day the client desires trades, including orders for modification/cancellation, which the broker will punch in the trading system on a best efforts basis. However if client chooses to give orders in aftermarket hours than upon specific instruction of the client the broker may attempt to enter them in the trading system on the next trading day however it may not be possible in all instances to do so.
- iv. Orders given by client may or may not result in trades and the client should continuously monitor the final outcome of the

*Continued on next page*



- order. Where orders have resulted in trades the same may or may not result in delivery and the client should continuously monitor his pay in / payout obligations.
- v. The client is aware that as an additional service measure the broker provides online access through its web portal for which client has been provided CRN login and password, client is able to go through entire trading, holding, contract note, bill and other details, download / print the same through this facility. Client must access transactions in his account on regular basis and report discrepancies if any observed immediately to the notice of the broker so as to enable broker to take such remedial action as may be possible.
  - vi. No employee, sub broker, director or any other agent of the broker is authorized to give any assurances of profits, or to manage the account of the client in any discretionary manner. The client must make his own decisions regarding suitability of orders/investments and if need be rely upon his own independent advisers whether in matters of orders/trades or in the matters relating to taxation etc. Accordingly the client should not enter into any personal/private mutual understanding with any employee, sub broker, director or any other agent of the broker.
  - vii. The broker use trading platform ODIN, which is exchange approved however there is no guarantee/warranty that this are bug / glitch free and the client may in rare occasions suffer losses which he should keep in mind while dealing through the broker.
  - viii. Where prima-facie it appears that trading system is suffering from some problems such as incorrect positions being shown etc. the client should refrain from trading and immediately bring the problem to the notice of the broker and act only after the problem has been resolved. The client understands that any action of client in such situation without informing the broker or not acting in accordance with the directions of the broker may cause loss in his account or may cause loss to be suffered by broker / any other client due to his action, which client may need to make good.
  - ix. The broker may tape record conversations of the client over telephone/in person however the broker shall not be obliged to do so and absence of availability of recordings shall not render any order/transaction unenforceable against the client, in as much as the orders can be placed over mobile phones, through visiting the branch and the recorded orders are also liable to damage/erasure on account of virus/capacity overrun of the machine.
  - x. As a measure of risk containment the broker may subject orders of the client to prior risk control assessment (such as checking availability of margin) before allowing the same to go into the trading system.
  - xi. Client account will be considered as inactive if the client does not trade for period of one year. Calculation will be done at the beginning of every month and those clients who have not done any transaction in any exchange will be considered as inactive, the shares/credit ledger balance if any will be transferred to the client within one week of the identifying the client as inactive. The client has to submit written request for reactivation of their account.
  - xii. The broker issues contract notes with the order number and trade number and therefore shall not be providing order confirmation and trade confirmation slips to the client.
  - xiii. The broker may send various information such as, documents, bills, margin statements, statement of accounts etc., to the client through any one or more of the following means i.e. post, registered post, speed post, courier, telegram, voice mail, SMS, telephone, messages on trading platform, through word of mouth by the agents of the broker, by displaying it on the website of the broker or making it available as a download from the website of the broker, displaying it on the notice board of the branch, and where the client has provided email address, then these information may also be sent by the broker through email. The service providers such as postal authorities, Courier Company, phone / SMS service providers etc., shall be deemed to be agents of the client and the delivery of the information shall be complete when the broker delivers the communications to such service providers.
  - xiv. The client should review all information sent to the clients including contract notes etc. immediately upon receipt and revert to broker with discrepancy if any (including if any trades in the account are not as per client directions/ orders) as early as practicable from the receipts of the same to allow the broker to take possible remedial steps.
  - xv. The client shall forthwith cease trading and inform the broker in the event the client becomes ineligible to deal with the broker on account of any court, exchange or regulatory action.
  - xvi. The broker shall be entitled to disseminate information about defaults made by the client to third parties.
  - xvii. The client shall not work as a sub broker/authorised person without prior written permission of the broker and only after seeking appropriate registration with respective registering authorities.
  - xviii. The client shall also not deal through the broker on an exchange of which the client himself is a member / Sub Broker / Authorised Person.
  - xix. The broker shall be entitled to maintain combined/ collective books of accounts of the client across exchanges and/or other services such as depositories etc.
  - xx. The records as provided by the broker through contract notes, bills, statement of accounts, statement of margin etc. shall be the official records to determine the obligations of broker and the client. Printouts taken from trading system or any such downloads etc. which are taken by the client from trading system may not give the correct picture and therefore shall not be the official record which bind the broker and the client.
  - xxi. The client shall upgrade to the newer versions of trading

*Continued on next page*

software/back-office software etc. on account of changes made by the broker and/or any other service provider like depositories/Banks.

- xxii. The existence of broker client relationship does not imply that broker is liable to provide each and every service to the client, and services may not be provided in case the client does not fulfill the necessary conditions for the same.
- xxiii. Where client chooses to clear his trades through Professional Clearing Member (PCM), then the broker shall revert such trades as are not confirmed by the PCM to the client who shall be then liable to not only pay all the margins on the same but to also settle the same.

**c. Payment related**

- i. The broker may debit charges for other services such as depository, charges on account of dishonour of cheques, charges for issuance of demand drafts, NEFT/RTGS, SMS charges, research report charges, administrative charges-offline for offline order on per executed order, minimum processing fee charges etc. to the client's account.
- ii. The broker does not accept cash and in no event should the client make any payments to the broker, broker's employees, broker's sub-broker/authorised persons and/or any agent of broker by cash.
- iii. The client must make payments from his own bank account through a bank instrument. The bank instrument must be drawn in favor of the broker only. The broker may demand a proof that the payments are being made by the client from his own account without which the Broker may not give credit to the client. In case of Demand Drafts, following may be required:
  - iv. Certificate from the issuing bank on its letter head or on a plain paper with the seal of the issuing bank.
  - v. Copy of the passbook/bank statement for the account debited to issue the instrument duly certified by the Bank. Please ensure that copy of the passbook/bank statement clearly reflects that amount has been debited for the purpose of issuing of prefunded instruments in favor of SEBPL.
  - vi. The client should never leave any blank instrument(s) such as cheques / depository instruction slips (DIS) etc. with broker or broker's employees, broker's sub-broker/authorised persons

and/or any agent of broker. The broker shall not be responsible for their misuse.

- vii. The broker shall make delivery of funds/securities to the client only after the same has been received from the exchange/clearing corporation/clearing house /the delivering client.

**d. Corporate Action**

- i. If client has kept securities in broker's margin account for use as margin/ delivery against trading/ dealing of client, the client should continuously monitor if any corporate benefits are proposed/ offered by the issuer company(ies) of such securities and get the securities transferred to his personal demat account to receive the corporate benefits, the broker shall not be required to make the applications for proposed/ offered corporate action/ benefits. Broker, in exceptional circumstances, upon specific written request, may attempt to seek corporate benefits for and on behalf of the client while keeping the custody of securities with its own self, however the same shall be without any warranty/guarantee that the corporate benefits shall be received. The client shall also provide funds and application etc. well in time to allow the broker to take necessary action.
- ii. Where any corporate benefits come into the broker's account, upon any written request / agreed settlement procedures the same shall be held as part of existing margin/collateral, and shall be released to the client upon written request.
- iii. The contract specifications may undergo changes because of corporate actions (such as shares split etc.) /directions by exchanges, and the client should actively monitor his open positions and take necessary actions to avoid any losses on account of any such changes.

**e. Disputes Redressal**

- i. The broker and the client agree that they shall refer any claim and/or difference and/or disputes to arbitration as per the rules, byelaws and regulations of the concerned exchange and circulars issued there under as may be in force from time to time.

Client confirms having read & accepted the terms & conditions of this document titled "Policies and Procedure" inter-alia comprising clauses 1 to 9 and agrees to be bound by all of them.

Date :- DD MM YYYY

Client Signature :



## TARIFF SHEET

### BROKERAGE

#### CASH SEGMENT

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

Minimum brokerage charge for trading in illiquid/high risk scrips in cash segment will be .40% on delivery and .04% on intraday turnover with minimum 4 paise (Scrip list available under client login).

#### DERIVATIVE SEGMENT

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

#### CURRENCY DERIVATIVES & INTEREST RATE FUTURES SEGMENT

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

Other Charges:	
Nature of Charge	Applicable Charge
a) Subscription Fee for EXE Based Diet Users per segment	₹ 500/- per month
b) Inter Settlement Charges	₹ 15/- (plus service tax) per transaction
c) Monthly/ Quarterly Physical Statements dispatch	₹ 25/- (Per dispatch)
d) Delayed Payment Charges – On overdue balance towards trading or margin (Standard rate per annum)	21%

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

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

Client Signature:



Date :- DD MM YYYY

## RUNNING ACCOUNT AUTHORISATION

**Smart Equity Brokers (P) Ltd.**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Telephone No. : 011-45004400

I/We have been / shall be dealing through you as my/our broker on the Capital Market and/ or Futures & Options Segments/Currency Derivative Segments. As my/our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my/our behalf as per instructions given below.

I am/ We are aware that you and I/we have the option to deliver securities/ make payments of funds to each other for settlement of dealings as per the schedule in force at the relevant time pursuant to directives / regulations/ circulars, issued by exchange. regulatory authorities. However, I/we find it difficult to carry out repeated pay-in of funds and securities. Further, I/we also desire to use my/our securities and monies as margin / collateral without which we cannot deal / trade.

Therefore I /we hereby direct and authorise you to maintain running account(s) for me/us and from time to time debit these securities and funds from running accounts and make pay-in of securities and funds to exchanges/ clearing corporations/other receiving party(ies) to settle my/our trades/ dealings. Similarly, where I/we have to receive securities/ funds in settlement of trades/ dealings please keep the securities and monies with you and make credit entries for the same in running accounts of securities and funds maintained by you. Further, subject to your discretion and valuation please treat my/our securities and funds lying to my/our credit in running accounts as margin/ collateral for my/our dealings/ trading. In the event I/we have outstanding obligations on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

I/we hereby further direct and authorise you to retain net amount upto Rs.10,000/- (net amount across segment and across stock exchanges) as prescribed by the exchange while settling the account on monthly/quarterly (as the case may be) basis in additions to funds being withheld as permitted by SEBI circular MIRSD/SE/Cir-19/2009 in case I/we have traded even once during the last one month/quarter as the case may be. While settling the account please send a 'statement of accounts' containing an extract from ledger for funds and an extract from the register of securities displaying all receipts/deliveries of funds/securities. Please explain in the statement(s) being sent the retention of funds/securities and the details of the pledge, if any. I / We agree that I/We shall bring any discrepancy arising from the statement of a/c on settlement preferably within 7 working days from the date of receipt of funds/securities or statement as the case may be to the notice of Trading Member so as to allow the Trading Member to take remedial steps, if any are warranted.

Please do not carry out above stated settlement of running account in the event I/we avail margin trading facility. Further, do not carry out settlement of running account referred to above for funds given by me/us towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FDR).

Please further note that I am entitled to revoke the Running Account Authorisation at any time.

My/Our preference for actual settlement of funds and securities is at least :

Once in a Calender Quarter     
  Once in a Calender Month

Thanking you,  
Yours faithfully,

Signature :

Name .....

Date : DD/MM/YYYY

## VERBAL ORDER ACCEPTANCE AUTHORISATION

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

I/We have been / shall be dealing through you as my / our broker on the Capital Market, Mutual Fund and/or Futures & Options Segments / Currency Derivative Segments. As my / our broker i.e. agent I / we direct and authorize you to carry out trading / dealings on my / our behalf as per instructions given below.

I/We agree and acknowledge that it is advised by you that I/We should give instructions for order placement/ modification and cancellation in writing and to avoid disputes, I/we must give instructions in exactly the format given below in duplicate (carbon copy/ photocopy only) and take signatures of atleast two authorised officers at the branch along with company stamp on the carbon/photocopy of the instructions in acknowledgment of receipt of my our instructions.

However as I/We shall be dealing by ordering over phone and even if we visit the branch, the fluctuation in market are so rapid that it is not practical to give written instructions for order placement/modification and cancellation, I/We hereby authorize you to accept my/my authorised representative's verbal instructions for order placement/modification and cancellation in person or over phone (fixed line or mobile phone) and execute the same.

I/We understand the risk associated with verbal orders and accept the same, and agree that I/We shall not be entitled to disown orders and consequent trades (if any) by shifting the burden of proof by asking you to prove the placement of orders through telephone recording or otherwise.

I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my / our directions given above.

Thanking you.  
Yours faithfully,

Signature:

Name (.....) Date : DD/MM/YYYY

## FORMAT FOR WRITTEN ORDERS

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Please execute the following order in my account :

Sl. No.	Exchange	Segment (Equities/ Derivatives/ Currency Derivatives)	Scrip Name/ Scrip Code Contract Description	Order Type (Regular/ Stop Loss)	Buy/ Sell	Quantity	Rate	Disclosed Quantity (If any)	Trigger Price (If SL Order)	Remarks

Client Name ..... Order Instruction Date & Time.....

Client Code ..... Signature : .....

## ACKNOWLEDGEMENT

Received the request for executing above mentioned written orders from Mr./Ms. ....  
having trading client code.....possessing PAN No.

**For Smart Equity Brokers (P) Ltd.**

Date : .....Place : ..... Time : ..... (A.M. /P.M.) (Auth. Official 1) (Auth. Official 2)

**P.S. : Format of written order are available on request at branch office**

## REQUEST FOR TRADE ALERTS THROUGH SMS AND/OR E-MAIL

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Dear Sir,

I/We have been/ shall be dealing through you as my/our broker on the capital market and/or future & option/currency derivative segment(s).

I/we am/are as a registered client of Smart Equity Brokers (P) Ltd. (SEBPL) confirm as follows:

1. I/We am/are aware that National Stock Exchange of India Limited (NSE) and Bombay Stock Exchange Limited (BSE) provide the details of trades executed on its trading platform to the concerned clients/constituents through SMS and/or e-mail alerts.

2. I/We hereby confirm that I/we wish to receive the trade alerts through (tick whichever is applicable):

a) **SMS alerts**                       b) **E-Mail alerts**

3. The alerts should be sent:

I. On my registered mobile number / email id as per your records, or

II. You are requested to update the mobile number/email id mentioned below in your records and for the purpose of trade alerts:

a) Mobile No. : .....

b) E-mail address : .....

I/ We hereby agree to the terms and conditions specified by the SEBI vide circular no. CIR/MIRSD/15/2011 dated August 2, 2011 and NSE & BSE vide circular no. NSE/INVG/19135 dated October 14, 2011 and 20111118-19 dated 18th November 2011 respectively and circulars/ clarifications issued by SEBI/ exchanges from time to time in this regard. I/We am/are aware that the recipient of SMS/Email alerts on the above mobile number and/or email address can be stopped only on my/our written request.

Signature:

Client Code : .....

Name (.....)

Date : DD/MM/YYYY

## AUTHORITY LETTER TO PLEDGE THE SHARES

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Dear Sir,

I/We have been/ shall be dealing through Smart Equity Brokers (P) Ltd. (SEBPL) as my/our broker on the capital market and/or future & option/currency derivative segment(s).

I/we hereby authorize SEPBL to pledge my/our securities lying with it as margin/ collateral with third parties such as Banks to meet the settlement/ margin obligation on my/our behalf as required from time to time.

I/we would further like to mention that SEBPL shall be entitled to invoke pledge at its absolute discretion at any point of time without giving any prior intimation to me/us to meet settlement obligation for my/our trading activities undertaken through SEBPL.

I/we understand that securities provided me/us in this regard should be my/our absolute property and are unencumbered.

Signature:

Client Code : .....

Name (.....)

Date : DD/MM/YYYY

**OPTION FOR ISSUANCE OF DIS BOOKLET ALONGWITH ACCOUNT OPENING (FOR POA CLIENTS)**

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

DP ID	I	N	3	0	3	9	4	8
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<b>Option for Issue of DIS booklet</b> <i>(Please tick any one)</i>		
<b>Option1</b>	<input type="checkbox"/>	I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.
<b>Option2</b>	<input type="checkbox"/>	I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.
<b>Beneficial Owner</b>	<b>Name(s) of account holder(s)</b>	<b>Signature with date</b>
Sole/First Holder		
Second Holder		
Third Holder		

**AUTHORIZATION FOR SHARING PERSONAL INFORMATION**

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Sir,

I/We have been/shall be dealing through Smart Equity Brokers (P) Ltd. (“SEBPL”) as my broker on the Capital market and/or futures & options segments/Currency Derivative Segments.

I/We have been made to understand that SEBPL has outsourced/may outsource certain activities including but not limited to activities relating to KYC, Information Technology functions, technical support functions or any other functions as may be decided by SEBPL to one or more third parties including group / related entities.

I / we would further like to mention that I/we want to make investments in mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments and other products / services etc. and generally to invest in various avenues / products and to redeem/liquidate any investments and want SEBPL to give effect to my / our desires/ requirements.

In view of the above I / we authorize SEBPL to share my / our personal and other information with one or more third parties including group / related entities for one or more of the above said purpose.

I / we agree that any offers / information received shall not be contested on grounds of address / phone included in national do not call registry or any other such restrictive regulations/ laws.

Thanking you.

Your Faithfully,

Signature:

Client Code : .....

Name (.....)

Date : DD/MM/YYYY



## VOLUNTARY ADDITIONAL TERMS & CONDITIONS FOR AVAILING DEPOSITORY SERVICES

1. The Client shall immediately notify the Depository Participant in writing if there is any change in client's personal information for example contact phone and mobile numbers, communication address, permanent address, income details, along with requisite supporting wherever required.
2. Client to please ensure taking written acknowledgement while submitting any document to Depository Participant's Officer, example being Delivery Instruction Slips, Demat Requests, Profile Change Request, and Requisition Slip/ Request for Issuance of Booklet etc. Depository Participant shall not be in a position to help in absence of written acknowledgement if client suffers damages and losses.
3. Depository Participant may re-verify / confirm through alternate means (say by telecalling) the authenticity of any instruction like Delivery Instruction Slip, Dematerialization request, Issuance of Delivery Instruction Booklet etc. received / submitted by client's messenger, or received by depository participant through courier, or any other means of communication.
4. Depository Participant provides online access through its web portal for which client has been provided a secured login and password, so that client is able to view holdings, transaction statement, bills, dues and other details. Depository Participant further sends the holding/ transaction and ledger statement to client's registered address or through electronic means to client's registered email ID. Client must verify his/her account details on regular basis and review his/her account status and in case of discrepancy is observed client shall immediately brought to the notice of the Depository Participant so as to enable the Depository Participant to take required remedial action as may be possible.
5. If client avails any additional service for which charges have not been decided before hand in schedule of charges, the Depository Participant has the right to charge alongwith separate intimation to the client.

Client confirms having read & accepted the terms & conditions of this document titled "VOLUNTARY ADDITIONAL TERMS & CONDITIONS FOR AVAILING DEPOSITORY SERVICES" and agrees to be bound by all of them.

Sole/First Holder Signature

Second Holder Signature

Third Holder Signature

Date :- DD MM YYYY

## ACKNOWLEDGEMENT

Form No. : .....

Received the application from Mr./Ms..... as the Sole, First holder alongwith..... and ..... as the Second and Third holders respectively for opening Trading and Demat account. Your account will be opened after due verification by us. You can check the status of the application submitted by you on our website ([www.smartequity.in](http://www.smartequity.in))

Your Client Id will be intimated to you once your account gets opened successfully. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

**For Smart Equity Brokers (P) Ltd.**

Name of Relationship Manager : .....

Date & Stamp and Sign.

Mobile No. of Relationship Manager + 

9	1	-																	
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***You may contact us at our***

**P.S.** : Please take this acknowledgement receipt from the RM/Branch who has contacted you.

\*Trading account can not be opened in joint names.



**LETTER OF AUTHORITY**

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

Phone : 011-45004400

Sir,

I/We have been / shall be dealing through you as my / our broker i.e. agent.

I/We hereby appoint Mr. /Ms. /Mrs.....with residence and other particulars as given below as my/ our authorized representative to deal / transact on my behalf and to place orders, give instructions, receive / collect and / or sign contract notes, bills, account statements, settlements, order and / or trade confirmations (whether written or oral / over phone) and any other documents or communication and generally to do any and all act (s) on my / our behalf which I / we can do. And I/ we undersigned do hereby agree and declare and confirm that all the acts and things done by him/her shall be my/our acts, deeds and things validly done by me /us to all intents and purposes.

Please treat this authorization as written ratification of my verbal directions / authorizations if any given and carried out by you earlier. I agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my directions given above.

Please take the above information on record & oblige.

Thanking you

Details of Authorised Representative			
Name			
Address			
Telephone No.	With STD Code	Mobile No.	

• An employee or sub-broker/authorised person of Smart Equity Brokers (P) Ltd. cannot be appointed as an authorised representative.

\* To be signed only when you wish to authorize someone to execute trade / deal on your behalf.

Signature:

Client Code : .....

Name (.....)

Date : DD/MM/YYYY



## LIMITED PURPOSE POWER OF ATTORNEY

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

- A. The Donor is registered / is registering / desires to register with Smart Equity Brokers (P) Ltd., a Company incorporated under the Companies Act, 1956 and having its registered office at F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027, Phone : 011-45004400 (hereinafter referred to as "the Donee" which means the stock broking division of Smart Equity Brokers (P) Ltd.) as a client/constituent, and
- B. The Donor wants that Donee should consider the securities/funds in the demat account/bank account (details of which are given on execution page) of donor as margin / collateral / security for dealings of Donor done/ to be done /expected to be done through /with Donee; and
- C. The Donor wants Donee to transfer securities/funds to Donee's demat BO account/ Donee's Bank Account (details of which are given on the execution page) for creating/maintaining collateral/ security/ margin; and
- D. The Donor wants Donee to make pay in and pay out of securities and/or funds (including pay in / pay out due to exercise of rights by Donee over securities/funds considered as margin/collateral/security) to stock exchange/clearing corporations / clearing house etc. as may be required from time to time; and
- E. The Donor wants to make investments in Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc. and wants Donee to give effect to desires/ requirements of Donor to sign any documents and / or do any and all act(s) as may be required for these purposes from time to time; and

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

### 1. Securities

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

### 2. Funds:

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

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



Sole/First Holder Signature



Second Holder Signature



Third Holder Signature

*Continued on next page*

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

i. Donor Beneficial Owner Account :

DP Name	DP ID	BO Account No.
Smart Equity Brokers (P) Ltd.	IN303948	

ii. Donor Bank Account :

Name of Bank	Bank Account No.

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

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

Demat A/c Purpose	NSDL	CM Name
NSE Pool A/c	IN566350	Smart Equity Brokers (P). Ltd.
BSE Pool A/c	IN656286	

Demat A/c Purpose	DP Name	DP ID	Depository	Beneficiary ID
Margin A/c	Smart Equity Brokers (P) Ltd.	IN303948	NSDL	10000012

ii. Donee's Bank Account :

Name of Bank	Bank Account No.

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

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

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



Sole/First Holder Signature

Sole/First Holder Name

Address



Second Holder Signature

Second Holder Name

Address



Third Holder Signature

Third Holder Name

Address

**Witness-I**

<b>Name</b>	
<b>Address</b>	
<b>Signature</b>	

**Witness-II**

<b>Name</b>	
<b>Address</b>	
<b>Signature</b>	

**Notary Public**

<b>Name</b>	
<b>Address</b>	
<b>Signature</b>	

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



## ECS FORM : FORM NO. FR-01D

### DEPOSITORY DIVISION

#### ACCOUNT NUMBER DETAILS

Sr. No.	Account Holder Name (s)	Depository Account No. (s)
1.		
2.		
3.		

#### ELECTRONIC CLEARING SERVICE (Debit Clearing Mandate Form)

1. Name (s) : .....

2. Bank Name : .....

(A) Branch Name : .....

(B) 9-Digit MICR code\* :

(C) Account Type :  S.B. A/c (Code 10)     Current A/c (Code 11)     Cash Credit (Code 13)

(D) Ledger No./Folio No : .....

Account No. : .....

Date of effect :

Periodicity : .....

\* Appearing on the MICR Cheque issued by the Bank (Please attach the Photocopy of a Cheque or a Blank cancelled cheque issued by your bank for verifying the accuracy of the Code Number)

I, hereby, declare that the particulars given above are correct and complete, if the transaction is delayed or not effected at all for reasons of incomplete or incorrect information. I would not hold the user institution responsible. I hereby agree to discharge the responsibility expected of me as a participant under the scheme.

Date :

\_\_\_\_\_  
Signature of the Applicant

**BANK CERTIFICATION** (Not required if photocopy of the Cheque is enclosed) .....

Certified that the particulars furnished above are correct as per our records.

**Bank's Stamp** : .....

Date :

.....  
Signature of authorised bank official

### AUTHORISATION TO BANK FOR DEBITING THE ACCOUNT

The Branch Manager  
.....  
.....

Dear Sir,  
I/We.....residing at.....  
.....maintain a.....Account No.....with  
your branch.

I/We hereby authorise the Bank to debit all type of commission/fees ("Service Charges") payable by me/us and charges by Smart Equity Brokers (P) Ltd. through the ECS (Debit Clearing) facility to my bank account with you. I/We undertake the balances shall be maintained by me/us so that the right of the Bank to debit the Service charges is not impaired. I/We hereby undertake not to revoke this authority without the written approval from the Bank.

\_\_\_\_\_  
Sole/First Holder Name & Signature

\_\_\_\_\_  
Second Holder Name & Signature

\_\_\_\_\_  
Third Holder Name & Signature

Date :

## DECLARATION BY KARTA & ALL CO-PARCENERS IN CASE OF HUF ACCOUNT

**SMART EQUITY BROKERS (P) LTD**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027 A/C/ No .....

1. WHEREAS the Hindu Undivided family \_\_\_\_\_ is carrying on business in the firm name and style of \_\_\_\_\_ at \_\_\_\_\_ or we intent to deal, have or desire to have share Demat Account SMART EQUITY BROKERS (P) LTD.(hereinafter referred as Member) We undersigned hereby confirm and declare that we are the present adult co-parceners of the/said joint family, that \_\_\_\_\_ is the present Karta of the said joint family.
2. We confirm that affairs of the HUF firm are carried on mainly by the Karta \_\_\_\_\_ on behalf and in the interest and for the benefit of all the co-parceners We hereby authorize the Karta \_\_\_\_\_ on behalf and the interest and for the benefit of all the co-parceners. We hereby authorize the Karta \_\_\_\_\_ on behalf of HUF to deal on capital market segments, F&O, retail debt market, derivatives and commodities or any other segment that may be introduced by NSE/BSE/MCX/NCDEX in future and the /said trading member is hereby authorized to honor all instructions oral or written given by him on behalf of the HUF.  
Mr. \_\_\_\_\_ is authorized to sell, purchase ,transfer, endorse, negotiate documents and/or otherwise deal through SMART EQUITY BROKERS (P) LTD. On behalf of HUF \_\_\_\_\_ He is also authorized to sign execute and submit such applications undertakings agreements and other requisite documents writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are however jointly and severally responsible for all liabilities of the said HUF form to the member and agree and confirm that any claim due to the Member from the said HUF Firm shall be recoverable from the assets of any one or all of us and also form the estate of the said joint family including the interest thereon of every co-parceners of the said joint family including the share of the minor co-parceners , if any.
3. We undertake to advise the member in writing of any change that may occur in the kartaship or in the constitution of the said joint family or said HUF firm and until receipt of such notice by the member which shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall however continue to be liable jointly and severally to the \_\_\_\_\_ obligations of the said HUF firm in the Member s book on the date of the receipt of such notice by the Member and until all such dues and obligations shall have been liquidated and discharged .
4. We recognize that a beneficiary account can be opened with Depository Participant only in the name of Karta as par regulations. To facilitate the operation of the above share trading account with you and or for the purpose of completing the share transfer obligations pursuant to the trading operations we authorized the beneficiary account no \_\_\_\_\_ with depository \_\_\_\_\_ Opened in name of \_\_\_\_\_ who /is the karta of this HUF .
5. The named and dates of birth of the present minor co-parceners of the said joint family are given below . we undertake to inform you in writing as and when each of the said members attain the majority and is authorized to act on behalf of and is authorized to act on behalf of and bind the said HUF Firm.
6. We have received and read a copy the Members rules arid regulations for the conduct of SHARE TRADING ACCOUNT and we agree to comply with & bound by the said rules now in force or any changes that may be made therein from time to time .

Name of the Minor	Father Name	Date of Birth
_____	_____	_____
_____	_____	_____

List of Co-parceners

- |                      |                            |                            |                            |
|----------------------|----------------------------|----------------------------|----------------------------|
| 1.                   | 4.                         |                            |                            |
| 2.                   | 5.                         |                            |                            |
| 3.                   | 6.                         |                            |                            |
| _____                | _____                      | _____                      | _____                      |
| (Signature of karta) | (Signature of co-parcener) | (Signature of co-parcener) | (Signature of co-parcener) |

(Along With Rubber Stamp)

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

**Smart Equity Brokers (P) Ltd.**

**Registered Office:** F-88, West District Centre, Shivaji Enclave, Rajouri Garden, Opp. TDI Paragon Mall, New Delhi-110027

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

A. IDENTITY DETAILS												PHOTOGRAPH			
Name of the Applicant:												<p style="font-size: small; text-align: center;">Please affix your recent passport size photograph and sign across it</p>			
Father's/ Spouse Name:															
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female		Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married		Date of Birth	DD / MM / YYYY								
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others .....			Status	<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National										
PAN				Aadhar Number, if any											
Specify the proof of Identity submitted :															
												<input type="checkbox"/> Pan Card		<input type="checkbox"/> Any other (please specify) .....	

B. ADDRESS DETAILS											
Residence Address :											
City/Town/Village:			Pin Code			State			Country		
Specify the proof of address submitted for residence address :											
Contact Details:		Tel. (off)		with STD code		Tel. (Res.)		with STD code		Mobile No.	
		Fax No.		with STD code		E-mail Id					
Permanent Address (if different from above or overseas address, mandatory for Non-Resident Applicant)											
City/Town/Village:			Pin Code			State			Country		
Specify the proof of address submitted for 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

#### FOR OFFICE USE ONLY

Original verified and Self-Attested Document copies received

(Seal/Stamp of intermediary)

Staff Name : .....
Designation : .....
Name of Organisation : <b>Smart Equity Brokers (P) Ltd.</b>
Signature : .....
Date : .....

<b>IPV Done</b> <input type="checkbox"/> on	D D M M Y Y Y Y
Name of Intermediary : <b>Smart Equity Brokers (P) Ltd.</b>	
Staff Name : .....	
Staff/AP/Sub Broker: .....	
Designation : .....	
Name of Organisation : .....	
Signature : .....	
Date : .....	

**A. IMPORTANT POINTS:**

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

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

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

**C. Proof of Address (POA):** - List of documents admissible as Proof of Address: (\*Documents having an expiry date should be valid on the date of submission.)

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

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

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

of such verified PAN details to the intermediary.

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

1. Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
  2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.
- F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:**

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

## CHECKLIST OF DOCUMENTS TO BE SUBMITTED ALONG WITH THE FORM

<b>A. Proof of Identity (POI): - List of documents admissible as Proof of Identity:</b>	
<input type="checkbox"/>	PAN card with photograph/Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license. <b>Important: Copy of PAN card is mandatory.</b>
<input type="checkbox"/>	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.
<b>B. 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.)</b>	
<input type="checkbox"/>	Unique Identification Number (UID) (Aadhaar) / Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
<input type="checkbox"/>	Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
<input type="checkbox"/>	Bank Account Statement/Passbook - Not more than 3 months old.
<input type="checkbox"/>	Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
<input type="checkbox"/>	Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazetted Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
<input type="checkbox"/>	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.
<input type="checkbox"/>	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.
<input type="checkbox"/>	The proof of address in the name of the spouse may be accepted.
<b>C. ADDITIONAL DOCUMENTS in case of trading in derivatives segments - illustrative list:</b>	
<input type="checkbox"/>	Copy of ITR Acknowledgement
<input type="checkbox"/>	Copy of Annual Accounts
<input type="checkbox"/>	Net worth certificate
<input type="checkbox"/>	In case of salary income - Salary Slip, Copy of Form 16
<input type="checkbox"/>	Bank account statement for last 6 months
<input type="checkbox"/>	Copy of demat account holding statement.
<input type="checkbox"/>	Any other relevant documents substantiating ownership of assets.
<input type="checkbox"/>	Self declaration with relevant supporting documents.
*In respect of other clients, documents as per risk management policy of the stock broker need to be provided by the client from time to time.	
<b>D. BANK PROOF</b>	
<input type="checkbox"/>	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.
<b>E. DEMAT ACCOUNT PROOF</b>	
<input type="checkbox"/>	Demat master or recent holding statement issued by DP bearing name of the client.
<b>F. SPECIFIC INSTRUCTIONS FOR HUF</b>	
<input type="checkbox"/>	The Depository Account cannot be opened in joint names.
<input type="checkbox"/>	The Depository account shall be opened in the name of Karta under HUF category, however PAN & Bank details of HUF to be mentioned
<input type="checkbox"/>	Please submit duly signed declaration with the names and signatures of all the co-parceners on letter head of HUF as per format.
<b>G. SPECIFIC INSTRUCTIONS FOR PARTNERSHIP FIRM</b>	
<input type="checkbox"/>	The depository account to be opened in the name of partner(s) under individual capacity in case of partnership firm, however PAN & Bank details of FIRM to be mentioned
<input type="checkbox"/>	Please provide a clear photocopy of the PAN Card of the Partner(s) in whose names depository account is to be opened.
<input type="checkbox"/>	Please provide a certified true copy of the Partnership deed.
<input type="checkbox"/>	Please submit duly signed declaration with the names and signatures of all partners on letter head of Partnership Firm as per format.
<b>H. SPECIFIC INSTRUCTIONS FOR CORPORATE</b>	
<input type="checkbox"/>	Copy of the balance sheets for the last 2 financial years (to be submitted every year).
<input type="checkbox"/>	Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).
<input type="checkbox"/>	Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.
<input type="checkbox"/>	Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly.
<input type="checkbox"/>	Copies of the Memorandum and Articles of Association and certificate of incorporation.
<input type="checkbox"/>	Copy of the Board Resolution for investment in securities market.
<input type="checkbox"/>	Authorised signatories list with specimen signatures.

Please provide an initial cheque in favour of "Smart Equity Brokers (P) Ltd." towards accounts opening charges, platform charges, subscription amount & margin amount whichever applicable.

- Note:**
1. Complete document to be signed by person himself/herself not to be signed by his/her attorney/ authorised person etc.
  2. Trading in currency derivative allowed only to resident clients.
  3. All supporting documents should be Self-Attested by client.
  4. Fill all the requisite details in KYC form and other documents.
  5. Strike off the boxes or space, which are not applicable.

### FOR OFFICE USE ONLY

<b>Branch Code</b>											
<b>Depository</b>	<input type="checkbox"/> Normal		<input type="checkbox"/> LIBERTY								
<b>Client Code Allotted</b>	Equity						<b>Depository</b>				
<b>Initial Cheque Details</b>											
<b>Cheque No.</b>	<b>Dated</b>	dd / mm / yyyy	<b>Amount</b>								
<b>Drawn on</b>											
	<b>Name</b>	<b>Employee / Introducer Code</b>	<b>Signature</b>								
Introducer											
RM											
Dealer											





**Smart Equity Brokers (P). Ltd.**  
**Smart Commodity Brokers (P). Ltd.**

**Registered Office Address:**

F-88, West District Centre, Shivaji Enclave, Rajouri Garden,  
Opp. TDI Paragon Mall, New Delhi-110027  
Telephone No. : 011-45004400, Fax:011-28161624  
E-mail : [info@smartequity.in](mailto:info@smartequity.in), Website : [www.smartequity.in](http://www.smartequity.in)