

FORM NO. _____

TRADING AND DEMAT ACCOUNT OPENING FORM INDIVIDUAL

CLIENT NAME _____

DP ID. 12091000 CLIENT ID _____ CLIENT CODE _____

RM NAME _____ SERVICE MANAGER _____

BRANCH NAME _____ FAMILY NAME _____

DEALER NAME _____ TEAM LEADER NAME _____

INTRODUCER NAME _____ REFERRAL NAME _____

☐

ONLY TRADING

☐

ONLY DEMAT

☐

BOTH TRADING AND DEMAT

KRA ☐ YES ☐ NO

CKYC ☐ YES ☐ NO

INCRED CAPITAL WEALTH PORTFOLIO MANAGERS PRIVATE LIMITED
(Formerly Known as BSH Corporate Advisors and Consultants Private Limited)

Registered Office: Unit No-1203, 12th Floor, B-Wing, The Capital, C-70, G Block, BKC, Bandra (E), Mumbai - 400051. T. +91 22 6844 6100 | F. +91 22 4161 1508 | www.incredequities.com | CIN No. U74999MH2018PTC305048

Corporate Office: 2nd and 3rd Floor, B Wing, Kaledonia Building, Sahar Road, Andheri East, Mumbai - 400069.
Phone: 91-22-4161-1500 / +91-22-4161-1596 | www.incredequities.com

For office use only:

KRA		CKYC	
YES		NO	
MODIFICATION		KRA ENTRY DATE	CKYC ENTRY DATE
		CKYC NUMBER	
YES	NO		

INDEX

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1.	Account Opening Form	• KYC Form – Document captures the basic information about the constituent and an instruction/ check list. • Document captures the additional information about the constituent relevant to Trading/ Demat account and an instruction/check list. • Declaration for FATCA/CRS	01-21
2.	Tariff Sheet	Document detailing the rate/amount of brokerage & other charges levied on the client for trading on stock exchange(s) & DP Service charges/ Fee Structure	22

VOLUNTARY DOCUMENTS

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MANDATORY AND VOLUNTARY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

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Note: Booklet 1 to be filled by client and returned to InCred Capital. Booklet 2 to be read, understood by the client for future reference.

Dear Investor!!

Subject: prevention of Money laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden.

It involved complex chain of activities whereby huge amount of money generated from illegitimate activities viz. selling of narcotic drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. if put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organization encourage money laundering to support their illegal acts.

It is important to note due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or a part of the chain, even if unknowingly or ignorantly, may invite the trouble.

In order to fight against the money laundering and terrorist financing, the Prevention of Money Laundering Act, 2002 (PMLA) was brought into force w.e.f. July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action task Force on anti-money laundering standards, Compliance with these standard has become imperative for international financial relations.

PMLA is applicable to every intermediary registered with Securities & Exchange Board of India (SEBI), which includes a stock broker, depository participant, portfolio manager and any other intermediary associated with securities market.

As per the provision of PMLA, the intermediaries are required to comply with Know Your Client (KYC) normal, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile.

In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registrations as a client with us or subsequently whenever asked for during the course of your dealings with us.

INCRED CAPITAL WEALTH PORTFOLIO MANAGERS PRIVATE LIMITED
CIN NO.: U74999MH2018PTC305048

SEBI Registration No. & Date – INZ000294632–August 18, 2020

CDSL SEBI Registration No & Date – IN-DP-559-2021–February 5, 2021

NSE Membership – Trading Member (Capital Market, Futures & Options and Debt. Segment)

Member Code – 90211

BSE Membership – Trading Member (Capital Market, Futures & Options and Debt. Segment)

Member Code – 6739

Registered Office Address: InCred Capital Wealth Portfolio Managers Pvt Limited,
Unit No 1203, B Wing, The Capital, C-70, B Block, BKC, Bandra (E), Mumbai – 400051

Phone: +91-22-6844 6100, Fax:+91-22-4161 1508, Website: www.incredequities.com

Correspondence Office Address: 3rd Floor , B Wing , Kaledonia Building, Sahar Road, Andheri East,
Mumbai – 400069

Name of Compliance Officer: Preeti Lalwani

Email-Id: compliance@incredcapital.com / preeti.lalwani@incredcapital.com

Phone No: +91-22-4161-1500 / +91-22-4161-1596

For any grievance please contact us at Investor Grievance Nos: 022-4161 1521 / 022-4161 1519 or you may write into us at customer.service@incredcapital.com.

In case not satisfied with the response, please contact – BSE Limited (Tel.:+91-22-22728097;

E-mail: is@bseindia.com); National Stock Exchange of India Limited (Tel.:+91-22-26598190;

E-mail: ignse@nse.co.in)

CDSL Ltd. (Phone: 1800-200-5533, email id: complaints@cdslindia.com).

You can also lodge your grievances with SEBI at <https://scores.sebi.gov.in>

For any queries, feedback or assistance contact SEBI office on Toll free helpline at 1800 22 7575 / 1800 266 7575.

CHECK LIST FOR FILLING KYC FORM (List of documents to be submitted) - For Individual

Name of the Document	Documentary requirements (self certified)		Please Tick
PAN Card			
Photograph	One Colored Front Face Photograph on photographic Paper (Passport Size)		
Proof of Identity and Address (Any One)	In terms of Rule 2 (d) of Prevention of Money–Laundering (Maintenance of Records) Rules, 2005 (PML Rules) “Officially Valid Documents” means the following: a. the passport, b. the driving License, c. proof of possession of Aadhaar number, d. the Voter’s Identity Card issued by Election Commission of India, e. job card issued by NREGA duly signed by an officer of the State Government and the letter issued by the National Population Register containing details of name, address, or any other document as notified by the Central Government in consultation with the Regulator		
Bank Proof Provide for all the Bank Account Mentioned (Any One)	Bank Statement/ Bank Passbook with cheque leaf (not more than 2 months old, seal & signature of Bank Official)	specifying name of the constituent, MICR Code or/ and IFSC Code of the bank	
	Banker’s Certificate on letter head of the Bank (ORIGINAL)		
	Cancelled Personalized Cheque leaf		
Proof of Income (Any One)	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 reflecting income		

INDIVIDUAL CLIENT REGISTRATION FORM

Please fill in ENGLISH and in BLOCK LETTERS

Are you a KYC-KRA Complied Client ☐ Yes ☐ NoDo you wish to provide consent for authenticating with Aadhar based system for account opening ☐ Yes ☐ No (Currently not applicable)☐ I hereby confirm that my details appearing on KRA/UIDAI have been shared. I further confirm that there are no changes in the same including my Address/Email id/Mobile Number. **OR**☐ I hereby confirm that my details appearing on KRA/UIDAI have been shared. I further confirm that my Address/Email id /Mobile Number** as appearing on the same have undergone change(s) and I have filled up the updated details below:☐ Address ☐ Email Id ☐ Mobile Number ☐ Personal Details

FIRST HOLDER

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

For office use only (To be filled by financial institution)	ApplicationType* ☐ New ☐ Update	
	KYC Number _____	(Mandatory for KYC update request)
	Account Type* ☐ Normal ☐ Minor	
	☐ Aadhaar OTP based E-KYC (in non-face to face mode)	

1. PERSONAL DETAILS

Name*	Prefix	First Name	Middle Name	Last Name
(Name should match with Income Tax site)				
Maiden Name (If any*)	Prefix	First Name	Middle Name	Last Name
Father/ Spouse Name*	Prefix	First Name	Middle Name	Last Name
Mother Name*	Prefix	First Name	Middle Name	Last Name
Date of Birth*	D D M M Y Y Y Y			
Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender			
PAN*				
Marital Status*	☐ Married ☐ Unmarried ☐ Others			
Nationality	☐ IN- Indian ☐ Others - Country _____ Country Code			
Residential Status*	☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National (Passport copy Mandatory for NRIs & Foreign National)			

2. PROOF OF IDENTITY (POI)* and Address (POA)*

(PERMANENT / OVERSEAS ADDRESS DETAILS)

I (Certified copy of OVD or equivalent e-document or OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number _____	Passport Expiry Date	D D M M Y Y Y Y
☐ B- Voter ID Card _____		
☐ C- Driving License _____	Driving License Expiry Date	D D M M Y Y Y Y
☐ D- NREGA Job Card _____		
☐ E- National Population Register Letter _____		
☐ F- Proof of Possession of Aadhaar	XXXXXXXX	(Please write last 4 digit of Aadhar
II ☐ E- KYC Authentication	XXXXXXXX	
III ☐ Offline Verification of Aadhaar	XXXXXXXX	
☐ Others _____		

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

District* _____ State _____ Country _____

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

3. CURRENT ADDRESS DETAILS

(CORRESPONDENCE/ LOCAL ADDRESS DETAILS)

☐ Same as above mentioned address (In such cases address details as below need not to be provided)

I (Certified copy of OVD or equivalent e-document or OVD or OVD obtained through digital KYC process needs to be submitted (anyone of the following OVDs)

☐ A- Passport Number _____ Passport Expiry Date

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

☐ B- Voter ID Card _____

☐ C- Driving License _____ Driving License Expiry Date

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

☐ D- NREGA Job Card _____

☐ E- National Population Register Letter _____

☐ F- Proof of Possession of Aadhaar

XXXXXXX

 (Please write last 4 digit of Aadhaar)

II ☐ E- KYC Authentication

XXXXXXX

III ☐ Offline Verification of Aadhaar

XXXXXXX

IV ☐ Deemed Proof of Address _____

☐ Others _____

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

District* _____ State _____ Country _____

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

4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Tel. (Off) _____ Tel. (Res) _____ Mobile _____

FAX _____ Email ID _____

5. REMARKS (If any)

6. APPLICANT DECLARATION

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

I/We hereby consent to receiving information from CVL KRA through SMS/Email on the above registered number/Email address.

I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only

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



Signature across photo /
Thumb Impression

Date

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

Place



Signature of Applicant:

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline Verification
☐ Digital KYC Process ☐ Equivalent e-document

	KYC VERIFICATION CARRIED OUT BY	IPV CARRIED OUT BY	INSTITUTION DETAILS	
Date			Name	InCred Capital Wealth Portfolio Managers Pvt Ltd
Emp. Name			Code	IN5060
Emp. Code			[Institution Stamp]	
Emp. Designation				
Emp. Branch				
Employee Signature				

Notes:

1. In case of any correction in the form – Sign next to the correction done & Sign has to match the original signature
2. General instructions and list of two character ISO 3166 country codes is available at the end.

INDIVIDUAL CLIENT REGISTRATION FORM

Please fill in ENGLISH and in BLOCK LETTERS

Are you a KYC-KRA Complied Client ☐ Yes ☐ NoDo you wish to provide consent for authenticating with Aadhar based system for account opening ☐ Yes ☐ No (Currently not applicable)☐ I hereby confirm that my details appearing on KRA/UIDAI have been shared. I further confirm that there are no changes in the same including my Address/Email id/Mobile Number. **OR**☐ I hereby confirm that my details appearing on KRA/UIDAI have been shared. I further confirm that my Address/Email id /Mobile Number** as appearing on the same have undergone change(s) and I have filled up the updated details below:☐ Address ☐ Email Id ☐ Mobile Number ☐ Personal Details

SECOND HOLDER

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

For office use only (To be filled by financial institution)	ApplicationType* ☐ New ☐ Update	
	KYC Number _____	(Mandatory for KYC update request)
	Account Type* ☐ Normal ☐ Minor	
	☐ Aadhaar OTP based E-KYC (in non-face to face mode)	

☐ 1. PERSONAL DETAILS

Name*	Prefix	First Name	Middle Name	Last Name
(Name should match with Income Tax site)				
Maiden Name (If any*)	Prefix	First Name	Middle Name	Last Name
Father/ Spouse Name*	Prefix	First Name	Middle Name	Last Name
Mother Name*	Prefix	First Name	Middle Name	Last Name
Date of Birth*	D D M M Y Y Y Y			
Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender			
PAN*				
Marital Status*	☐ Married ☐ Unmarried ☐ Others			
Nationality	☐ IN- Indian ☐ Others - Country _____ Country Code			
Residential Status*	☐ Resident Individual ☐ Non Resident Indian ☐ Foreign National (Passport copy Mandatory for NRIs & Foreign National)			

☐ 2. PROOF OF IDENTITY (POI)* and Address (POA)*

(PERMANENT / OVERSEAS ADDRESS DETAILS)

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☐ D- NREGA Job Card _____		
☐ E- National Population Register Letter _____		
☐ F- Proof of Possession of Aadhaar _____	XXXXXXX	(Please write last 4 digit of Aadhar
II ☐ E- KYC Authentication _____	XXXXXXX	
III ☐ Offline Verification of Aadhaar _____	XXXXXXX	
☐ Others _____		

Address

Line 1* _____

Line 2 _____

Line 3 _____ City / Town / Village* _____

District* _____ State _____ Country _____

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

3. CURRENT ADDRESS DETAILS

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---	---	---	---	---	---	---	---

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

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☐ E- National Population Register Letter _____

☐ F- Proof of Possession of Aadhaar

XXXXXXX

 (Please write last 4 digit of Aadhar

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Line 3 _____ City / Town / Village* _____

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

4. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID)

Tel. (Off) _____ Tel. (Res) _____ Mobile _____

FAX _____ Email ID _____

5. REMARKS (If any)

6. APPLICANT DECLARATION

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

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Signature across photo /
Thumb Impression

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Place



Signature of Applicant:

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Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline Verification
☐ Digital KYC Process ☐ Equivalent e-document

	KYC VERIFICATION CARRIED OUT BY	IPV CARRIED OUT BY	INSTITUTION DETAILS	
Date			Name	InCred Capital Wealth Portfolio Managers Pvt Ltd
Emp. Name			Code	IN5060
Emp. Code			[Institution Stamp]	
Emp. Designation				
Emp. Branch				
Employee Signature				

Notes:

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THIRD HOLDER

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

For office use only (To be filled by financial institution)	ApplicationType* ☐ New ☐ Update	
	KYC Number _____	(Mandatory for KYC update request)
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1. PERSONAL DETAILS

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Gender*	☐ M- Male ☐ F- Female ☐ T-Transgender			
PAN*				
Marital Status*	☐ Married ☐ Unmarried ☐ Others			
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☐ C- Driving License _____ Driving License Expiry Date

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---	---	---	---	---	---	---	---

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FAX _____ Email ID _____

5. REMARKS (If any)

6. APPLICANT DECLARATION

I/We hereby declare that the KYC details furnished by me are true and correct to the best of my/our knowledge and belief and I/we under-take 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.

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I am/We are also aware that for Aadhaar OVD based KYC, my KYC request shall be validated against Aadhaar details. I/We hereby consent to sharing my/our masked Aadhaar card with readable QR code or my Aadhaar XML/Digilocker XML file, along with passcode and as applicable, with KRA and other Intermediaries with whom I have a business relationship for KYC purposes only

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Signature across photo /
Thumb Impression

Date

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

Place



Signature of Applicant:

7. ATTESTATION / FOR OFFICE USE ONLY

Documents Received

- ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline Verification
☐ Digital KYC Process ☐ Equivalent e-document

	KYC VERIFICATION CARRIED OUT BY	IPV CARRIED OUT BY	INSTITUTION DETAILS	
Date			Name	InCred Capital Wealth Portfolio Managers Pvt Ltd
Emp. Name			Code	IN5060
Emp. Code			[Institution Stamp]	
Emp. Designation				
Emp. Branch				
Employee Signature				

Notes:

1. In case of any correction in the form – Sign next to the correction done & Sign has to match the original signature
2. General instructions and list of two character ISO 3166 country codes is available at the end.

TRADING & DP ACCOUNT RELATED DETAILS For Individual

(To be filled by Depository Participant)

DP Internal Ref. No.:

Date :

Client ID : _____ ☐ CDSL DP ID: _____

(PLEASE TICK WHICHEVER IS APPLICABLE & DETAILS TO BE FILLED BY THE APPLICANT IN **BLOCK LETTERS IN ENGLISH**)

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

A. DETAILS OF ACCOUNT HOLDERS

Name of the Holders	UID (Please write last 4 digit of Aadhar)	PAN	GST Identification Number
Name of the First/Sole Holder	x xx x x xx x		
UCC Code _____ Exchange Name _____ ID _____			
UCC Code _____ Exchange Name _____ ID _____			
UCC Code _____ Exchange Name _____ ID _____			
UCC Code _____ Exchange Name _____ ID _____			
Name of the Second Holder	x xx x x xx x		
Name of the Third Holder	x xx x x xx x		
In case of Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name, PAN & GST Number of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:			
Name	PAN	GST Identification Number	

B. Type of Account (Please tick whichever is applicable)

Type of Account (Please tick whichever is applicable)

Status	Sub – Status
☐ Individual	☐ Individual Resident ☐ Individual Director's Relative ☐ Individual Promoter ☐ Individual Margin Trading A/C (MANTRA) ☐ Individual-Director ☐ Individual HUF/ AOP ☐ Minor ☐ Others (specify) _____
☐ NRI	☐ NRI Repatriable NRI ☐ Repatriable Promoter NRI ☐ -Depository Receipts ☐ NRI Non-Repatriable ☐ NRI Non-Repatriable Promoter ☐ Others (specify) _____
☐ Foreign National	☐ Foreign National ☐ Foreign National – Depository Receipts ☐ Others (specify) _____

C. BANK ACCOUNT DETAILS (Default Bank will be updated in DP account as Dividend Bank details)

	Bank 1 (Default)	Bank 2
Bank Name:		
Branch Address:		
Bank Account No.:		
Account Type: Saving/Current/ Others -In case of NRI/NRE/ NRO/PIS:		
MICR Number:		
IFSC Code:		
City:		
State:		
Country:		

- (i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or)
(ii) Photocopy of the Bank Statement having name and address of the BO (or)
(iii) Photocopy of the Passbook having name and address of the BO, (or)
(iv) Letter from the Bank.

D. Depository Account(s) details

	DP 1	DP 2
Depository Participant Name:		
Depository Name (NSDL/CDSL):		
Beneficiary Name:		
DP ID:		
Beneficiary ID (BO ID):		

Note: Leave this field blank if you are opening DP A/c with Trading A/c.

E. Other Details (Please see guidelines overleaf)

1. Gross Annual Income Details

Please tick ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ 25-50 Lac ☐ 50-1 Cr ☐ >Cr

Net worth in Rs. (*Net worth should not be older than 1 year) _____ as on (Date) _____

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

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

3. Number of years of Investment / Trading experience: _____

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

If PEP or RPEP then give reasons: _____

E1. TRADING PREFERENCES (SIGNATURE PURPOSE)

Please select the segments in which you wish to trade and sign in the relevant boxes.
Please strike off the segment not chosen by you.

Segment	CM Segment [BSE and NSE]	F&O Segment [BSE and NSE]	CD Segment [NSE]	All Segments [CM-BSE & NSE; FO-BSE & NSE; CD-NSE]
Signatures 				

Note: If, in future, you want to trade on any New Segment/ New Exchange, separate authorization/ letter will be required.

F. 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: _____

G. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS

- If Client is dealing through the Authorised Person, provide the following details:

Authorised Person's Name: _____ SEBI Registration Number: _____

Registered Office Address: _____

Phone: _____ Fax: _____ Website: _____

- Whether dealing with any other Stock Broker/Authorised Person (in case dealing with multiple Stock Brokers/ Authorised Person, provide details of all)

Name of Stock Broker: _____ Name of Authorised Person, if any: _____

Client Code: _____ Exchange: _____

Details of disputes/ dues pending from/ to such Stock Broker/ Authorised Person: _____

H. ADDITIONAL DETAILS

- Whether you wish to receive *standard documents in electronic form ☐ or physical form ☐
- *Rights & Obligations of stock broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading), Uniform Risk Disclosure Documents, Guidance Note, Policies and Procedures and Rights & Obligations of Beneficial Owners and Depository Participants.
- Whether you wish to receive the confirmation, account statements and any other correspondence electronically or physically? (please specify) Physical ☐ Electronic ☐
- Whether you wish to receive Physical Contract Note ☐ Electronic Contract Note (ECN) ☐

Specify your Email id, if applicable: _____

- Whether you wish to avail of the facility of internet trading/wireless technology (please specify): _____
- Number of years of Investment/Trading Experience: _____
- Any other information: _____
- Please specify your choice of receiving a copy of this form Physical ☐ Electronic ☐

SMS Alert Facility Refer to Terms & Conditions given as (available on our website www.incredequities.com)	MOBILE NO. +91 _____ [(Mandatory, if you are giving Power of Attorney (POA)) (if POA is not granted & you do not wish to avail of this facility, cancel this option)]							
Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure – 2.6 (available on our website www.incredequities.com)	I/We wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility. I/We have read and understood the Terms and Conditions prescribed by CDSL for the same. ☐ Yes ☐ No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST							
	<table border="1"> <thead> <tr> <th>Stock Exchange Name/ID</th> <th>Clearing Member Name</th> <th>Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td> </td> <td> </td> <td> </td> </tr> </tbody> </table>	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)				
Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)						
Easi	To register for easi, please visit www.cdsindia.com Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online	☐ Yes ☐ No						
Mode of Communication for Joint Accounts: For Joint accounts, communication to be sent to (Note: In case if 'first holder' is selected, the communication will be sent as per the preference mentioned. In case 'All joint account holders' is opted, communication to first holder will be sent as per the preference mentioned and communication to other holders will be in electronic mode. The default option will be communication to 'first holder', if no option selected)		☐ First Holder ☐ All Joint Accounts Holder						
Mode of Operations for Joint Accounts: (Note: If Mode of Operation for Joint Account is chosen as anyone of the holder or survivor(s), only specified operations such as Transfer of securities including Inter-Depository Transfer. Pledge / hypothecation / margin pledge / margin re-pledge (creation, closure and invocation and confirmation thereof as applicable) of securities. Freeze/unfreeze account and/or the ISIN and/or specific number of securities.		☐ Jointly ☐ Anyone of the Holder or Survivor(s)						

Standing Instructions:

I/We instruct the DP to receive each and every credit in my/our account (If not marked, the default option would be 'Yes')	[Automatic Credit] ☐ Yes ☐ No
I/We would like to instruct the DP to accept all the pledge instructions in my/our account without any other further instruction from my/our end (If not marked, the default option would be 'No')	☐ Yes ☐ No
Account Statement Requirement	☐ As per SEBI Regulation ☐ Daily ☐ Weekly ☐ Fortnightly ☐ Monthly
I/We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	☐ Yes ☐ No
I/We would like to share the Email ID with the RTA.	☐ Yes ☐ No

I / We would like to receive the Annual Report ☐ Physical / ☐ Electronic / ☐ Both Physical and Electronic (Tick the applicable box. If not marked the default option would be in Physical)	
I / We wish to receive dividend / interest directly in to my/or bank account as given below through ECS (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	☐ Yes ☐ No
I/We hereby opt for : Regular Demat Account ☐ / BSDA Account ☐	

OPTION FORM FOR ISSUE OF DIS BOOKLET

Dear Sir / Madam,

☐ OPTION 1:

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

☐ OPTION 2:

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with _____ (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

DETAILS OF GUARDIAN (IN CASE THE ACCOUNT HOLDER IS MINOR)

Guardian's Name		PAN	
Relationship with the applicant			
In case of NRIs/ Foreign Nationals			
RBI Approval Ref. No.		RBI Approval Date	

I. INTRODUCTION DETAILS

Name of the Introducer: _____
(Surname) (Name) (Middle Name)

Status of the Introducer: Remisier/ Authorized Person/ Existing Client/ Others, please specify: _____

Address and Phone No. of the Introducer: _____

Signature of the Introducer:

Date

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

Place

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

NOMINATION FOR TRADING AND DEMAT ACCOUNT

To InCred Capital Wealth Portfolio Managers Pvt. Ltd. Unit No-1203, 12th Floor, B-Wing, The Capital, C-70, G Block, BKC, Bandra (E), Mumbai - 400051		FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)	
Date		DP ID 	UCC
I/We wish to make a nomination. [As per details given below]			
Nomination Details			
I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s) *			
Mandatory Details			
	Particulars	Details of 1st Nominee	Details of 2nd Nominee
1	Name of the nominee(s) (Mr./Ms.)		
2	Share of each Nominee**		
3	Relationship with the Applicant (If Any)		
4	Address of Nominee(s)		
	City / Place:		
	State & Country:		
	PIN Code		
5	Mobile / Telephone No. of nominee(s)		
6	Email ID of nominee(s)		
7	Nominee Identification details***	[Please tick any one of following and provide details of same] ☐ PAN ☐ Aadhar ☐ Driving License	
Additional Details****			
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:			
8	Date of Birth		
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }		
10	Address of Guardian(s)		
	City / Place:		
	State & Country:		
	PIN Code		
11	Mobile / Telephone No. of Guardian		
12	Email ID of Guardian(s)		
13	Relationship of Guardian with nominee		
14	Guardian Identification details***	[Please tick any one of following and provide details of same] ☐ PAN ☐ Aadhar ☐ Driving License	

CANCELLATION OF NOMINATION/DECLARATION FORM FOR OPTING OUT OF NOMINATION☐ **I/WE DO NOT WISH TO APPOINT ANY NOMINEE(S) IN MY/OUR TRADING/DEMAT ACCOUNT**

I/ We hereby confirm that I / We do not wish to appoint any nominee(s) in my/our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents/ information for claiming of assets held in my/our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

***Joint Accounts**

Event	Transmission of Account
Demise of one or more joint holder(s)	Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners
Demise of all joint holders simultaneously having nominee	Nominee
Demise of all joint holders simultaneously not having nominee	Legal heir(s) of the youngest holder

** if % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division /fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').

*** Provide only number: PAN or Driving License or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI/OCI/PIO. Passport number is acceptable.

**** to be furnished only in following conditions/orcumstances

- Date of Birth (DoB) please provide, only if the nominee is minor
- Guardian: It is optional for you to provide. if the nominee is minor

1) I/We want the details of my/our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the DP as follows: (please tick, as appropriate)

☐ Name of nominee(s) ☐ Nomination: Yes / No

2) I hereby authorize _____(nominee number_____) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of SEBI Circular on Revise and Revamp Nomination Facilities in the Indian Securities Market related to Nominee to act on behalf of incapacitated investors. He / She is authorized to encash my assets up to__% of assets in the account / folio or Rs._____. (strike off portions that are not relevant)

3) This nomination shall supersede any prior nomination made by me / us, if any.

4) Signature(s) - As per the mode of holding in demat account(s) / MF folio(s)

Name(s) of holder(s)	Signature(s) of holder / thumb impression	Signature of two witnesses*	Name of Witness & Address (wherever applicable) *
Sole/First Holder (Mr./Ms.)			
Second Holder (Mr./Ms.)			
Third Holder (Mr./Ms.)			

*Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.

Rights, Entitlement and Obligation of the investor and nominee:

- a. If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure of Opt Out of Nomination as per paragraph 3.10 of SEBI Circular on Revise and Revamp Nomination Facilities in the Indian Securities Market.
- b. You can make nomination or change nominee any number of times without any restriction.
- c. You are entitled to receive acknowledgement from the AMC / DP for each instance of providing or changing nomination.
- d. Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
- e. In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
- f. You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio. This mandate can be changed any time you choose.
- g. The signatories for this nomination form in joint folios / account, shall be the same as that of your joint MF folio / demat account. i.e.
 1. 'Either or Survivor' Folios / Accounts – any one of the holder can sign
 2. 'First holder' Folios / Accounts – only First holder can sign
 3. 'Jointly' Folios / Accounts – both holders have to sign

Transmission aspects

- AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.
- In case of a joint account/folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.
- Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.
- In case of multiple nominees the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

% share as specified by investor at the time of nomination		% assets to be apportioned to surviving nominees upon demise of investor and nominee 'A'			
Nominee	% share	Nominee	% initial share	% of A's share to be apportioned	Total % share
A	60%	A	0%	0%	0%
B	30%	B	30%	45%	75%
C	10%	C	10%	15%	25%
Total	100%	-	40%	60%	100%

Terms And Conditions-cum-Registration / Modification Form for receiving SMS Alerts from CDSL [SMS Alerts will be sent by CDSL to BOs for all debits]

Definitions:

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

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

Availability:

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

Receiving Alerts:

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for the service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the service depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledges that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/ or inaccuracy. In case the BO observes any error in the information provided in the alert, the BO shall inform the depository and/ or the DP immediately in writing and the depository will make best possible efforts to rectify the error as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/ suffered by the BO on account of opting to avail SMS alerts facility.
5. The BO authorizes the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. **The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/ unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com. The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.**
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.

Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the service provided by the service provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the service provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the service, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.

Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this service.

Governing Law and Jurisdiction:

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time.

I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of REGISTRATION / MODIFICATION (Please cancel out what is not applicable).

DP ID	1	2	0	9	1	0	0	0	CLIENT ID								
(Please write your 8 digit DPID)									(Please write your 8 digit Client ID)								

Sole / First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile Number on which messages are to be sent **+91**
 (Please write only the mobile number without prefixing country code or zero)

The mobile number is registered in the name of: _____

Email ID: _____
 (Please write only ONE valid email ID on which communication; if any, is to be sent)

1ST HOLDER



2ND HOLDER



3RD HOLDER



Date

Place

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FATCA CRS KYC information and Declaration-INDIVIDUALS

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

First Holder

NAME : _____	PAN: _____	DOB: _____
PLACE OF BIRTH : _____	COUNTRY OF BIRTH : _____	
EMAIL: _____	MOBILE: _____	
RESIDENCE ADDRESS FOR TAX PURPOSE : _____		
ADDRESS TYPE : _____ (select from below)		
☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office		
If you are a resident of India, please mention:-		
Name of the document** submitted _____		
and Document Identification Number _____		

Gross Annual Income Details In INR	Below 1 Lakh ☐	10 - 25 Lacs ☐	Net Worth In INR. In Lakhs _____
	1 - 5 Lacs ☐	25 Lacs - 1 Crore ☐	
	5 - 10 Lacs ☐	> 1 Crore ☐	
			Net Worth as on
			DDMMYYYY

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

Politically Exposed Person[PEP]	Yes ☐	Related to PEP	Not Applicable ☐
---------------------------------	------------------------------	----------------	---

Are you a resident of any country other than India?	Yes ☐	No ☐
---	------------------------------	-----------------------------

If yes, Please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country#	Tax Identification Number%	Identification Type (TIN or other, please specify)	TIN issuing authority

To also include USA, where the individual is a citizen / green card holder of The USA.

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

**Following any of the two documents to be collected of each country where the person is tax resident: Passport, Election ID Card, Driving License, UIDAI Letter, Others.

Certification

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

I/We understand that the information is required under Rules 114F to 114H of The Central Board of Direct Taxes as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation. In relevant cases, information will have to be reported to tax authorities/appointed agencies.

Should there be any change in any information provided to you, I/We would inform you promptly, i.e., within 30 days.

1st HOLDER SIGNATUREDate

Place

FATCA CRS KYC information and Declaration-INDIVIDUALS

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

Second Holder

NAME : _____	PAN: _____	DOB: _____
PLACE OF BIRTH : _____	COUNTRY OF BIRTH : _____	
EMAIL: _____	MOBILE: _____	
RESIDENCE ADDRESS FOR TAX PURPOSE : _____		
ADDRESS TYPE : _____ (select from below)		
☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office		
If you are a resident of India, please mention:-		
Name of the document** submitted _____		
and Document Identification Number _____		

Gross Annual Income Details In INR	Below 1 Lakh ☐	10 - 25 Lacs ☐	Net Worth In INR. In Lakhs _____
	1 - 5 Lacs ☐	25 Lacs - 1 Crore ☐	
	5 - 10 Lacs ☐	> 1 Crore ☐	
			Net Worth as on

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

Politically Exposed Person[PEP]	Yes ☐	Related to PEP	Not Applicable ☐
---------------------------------	------------------------------	----------------	---

Are you a resident of any country other than India?	Yes ☐	No ☐
---	------------------------------	-----------------------------

If yes, Please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country#	Tax Identification Number%	Identification Type (TIN or other, please specify)	TIN issuing authority

To also include USA, where the individual is a citizen / green card holder of The USA.

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

**Following any of the two documents to be collected of each country where the person is tax resident: Passport, Election ID Card, Driving License, UIDAI Letter, Others.

Certification

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

I/We understand that the information is required under Rules 114F to 114H of The Central Board of Direct Taxes as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation. In relevant cases, information will have to be reported to tax authorities/appointed agencies.

Should there be any change in any information provided to you, I/We would inform you promptly, i.e., within 30 days.

2nd HOLDER SIGNATUREDate

Place

FATCA CRS KYC information and Declaration-INDIVIDUALS

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

Third Holder

NAME : _____	PAN: _____	DOB: _____
PLACE OF BIRTH : _____		COUNTRY OF BIRTH : _____
EMAIL: _____		MOBILE: _____
RESIDENCE ADDRESS FOR TAX PURPOSE : _____		
ADDRESS TYPE : _____ (select from below)		
☐ Residential or Business ☐ Residential ☐ Business ☐ Registered Office		
If you are a resident of India, please mention:-		
Name of the document** submitted _____		
and Document Identification Number _____		

Gross Annual Income Details In INR	Below 1 Lakh ☐	10 - 25 Lacs ☐	Net Worth In INR. In Lakhs _____
	1 - 5 Lacs ☐	25 Lacs - 1 Crore ☐	
	5 - 10 Lacs ☐	> 1 Crore ☐	
			Net Worth as on
			DDMMYYYY

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

Politically Exposed Person[PEP]	Yes ☐	Related to PEP	Not Applicable ☐
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Are you a resident of any country other than India?	Yes ☐	No ☐
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If yes, Please indicate all countries in which you are resident for tax purposes and the associated Tax ID Numbers below.

Country#	Tax Identification Number%	Identification Type (TIN or other, please specify)	TIN issuing authority

To also include USA, where the individual is a citizen / green card holder of The USA.

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

**Following any of the two documents to be collected of each country where the person is tax resident: Passport, Election ID Card, Driving License, UIDAI Letter, Others.

Certification

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

I/We understand that the information is required under Rules 114F to 114H of The Central Board of Direct Taxes as part of the Income-tax Rules, 1962, which Rules require Indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation. In relevant cases, information will have to be reported to tax authorities/appointed agencies.

Should there be any change in any information provided to you, I/We would inform you promptly, i.e., within 30 days.

3rd HOLDER SIGNATUREDate

Place

TARIFF SHEET (FOR ALL EXCHANGE & SEGMENT)

Brokerage

	1st Leg		2nd Leg (Same Day)	
	%Age	Min.	%Age	Min.
Trading				
Delivery				
Equity Derivatives				
Futures				
Options				
Options Flat				
Currency Derivatives				
Futures				
Options				
MFSS				

Note Other Charges: The following charges will be charged and collected from the Client on the Contract Note:- (a) SEBI Turnover fees Exchange Transaction charges as applicable. (b). Statutory levies including but not limited to Securities Transaction Tax (STT), Stamp duty, GST, Education Cess, as applicable shall be levied as applicable or as prescribed by SEBI/Exchange from time to time. The following charges will be charged and collected from the Client in the Ledger or on the bill. (c). Interest on delayed payment (d). Research report charges. (e). Demat charges for pay-in/pay-out of shares from Pool/Margin Account (on actual basis) (f). Clearing charges (for Cash, F&O and Currency Derivatives segment of all Exchanges, if applicable), Up to Rs. 50/- per crore on futures contract and upto Rs. 1000/- per crore on options contract (on premium) (g). Short delivery/Auction charges (other than internal close out charges) @ 1% of the auction value (h) Document handling charges-Upto Rs. 15/- per Contract note (i). Cheque Bounce charges of Rs. 200/- will be charged. Clearing charges for CM segment: 1) Intraday will be charged Rs. 25/- per crore on turnover basis. 2) Delivery will be charged Rs. 500/- per crore on turnover basis.

Charges for Depository Services through CDSL

Charges Head	Transaction Type	Charges
Account Charges	Account Maintenance Charges (Accounting year)	Rs. 500/- for accounts other than Corporate Rs. 1000/- for Corporate accounts
Transaction Charges	On-Market	Purchase/Sale through InCred Capital - NIL Sale transactions done through other Brokers: charges @0.03% of value per ISIN (minimum Rs. 20/-)
	Off-Market/Inter-Depository	Sale transactions - @0.03% of value per ISIN (minimum Rs. 20/-)
Pledge	Pledge Creation	Rs. 25/- per ISIN within InCred Capital
	Pledge Closure	Rs. 25/- per ISIN within InCred Capital
	Pledge Invocation	Rs. 25/- per ISIN within InCred Capital
	Pledge/Un-Pledge/Invocation	@0.02% of value, minimum Rs. 25/- per ISIN outside InCred Capital
	Margin Pledge	Rs. 10/- per ISIN within InCred Capital
Other Charges	Dematerialization	Rs. 5/- per certificate + Rs. 30/- towards courier charges
	Rematerialization	Rs. 10/- per certificate + Rs. 30/- towards courier charges

Other Terms

- Stamp Duty Charges on Agreement & automated POA will be charged on actual in the first bill.
- Any service not quoted above will be charged separately.
- GST will be charged as applicable.
- All payments to be made in the name of "InCred Capital Wealth Portfolio Managers Pvt Ltd." via a cheque/DD.

DP ID	1	2	0	9	1	0	0	0	CLIENT ID								
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1ST HOLDER

2ND HOLDER

3RD HOLDER



VOLUNTARY TERMS AND CONDITIONS

The following clauses are not part of model formats of Uniform Set of Documents prescribed by SEBI vide its circular number CIR/MIRSD/16/2011 dated August 22, 2011. These clauses have been added in order to ensure smooth functioning of trading and to enhance the transparency of Member-Client relation. The Client is further informed that these clauses are voluntary and at the discretion of Member and Client. The Client and the Member, in addition to Mandatory clauses, also voluntarily agree to the Terms and Conditions stated herein below. The Client is further informed that he/she/it may strike out any of these clauses, if he/she/it does not wish to accept the same.

Types of services offered: The Stock Broker agrees to provide, and the Client agrees to avail of, the following services:

- a. Trading facilities for Cash Segment/ Derivatives Segment/ Currency Derivatives Segment

1. GENERAL TERMS AND CONDITIONS GOVERNING THE SERVICE

- (i) All transactions that are carried out by and on behalf of the Client shall always be subject to Government notifications, any rules, regulations, guidelines and circulars issued by SEBI and Rules, Regulations and Bye-laws of the Exchange that may be in force from time to time, and their Clearing Houses, if any, on which such transactions are executed and / or cleared by the Member that may be in force from time to time, the Reserve Bank of India and the NSDL and CDSL, the Securities Contracts Regulation Act and the rules made thereunder, and any other applicable statutory provisions and/ Rules or Regulations. The Member is under no obligation to inform the TClient of changes in these rules, regulations or guidelines.
- (ii) The Client hereby confirms that the Stock Broker has disclosed that it may undertake Proprietary trading in addition to Client Based Trading. (iii) The Client has read and understood Risk

Disclosure Document issued by BSE and NSE. The Client further confirms that they are aware of the Rules and Regulations on Prevention of Money Laundering Act (PMLA), 2002 and that the Client has not violated any of the Rules and Regulations of the said act and hereby indemnify the Stock Broker from any liability arising from my/our transactions executed with the Stock Broker.

- (iv) The Client hereby confirms that he/she himself/herself or none of its Directors/ Partners/ Trustees/ Promoter/Karta/ Whole -Time Directors and/ or, Shareholders holding majority stake are/ were debarred from dealing in securities market by any statutory authority

including SEBI NSE/ BSE. The Client also confirms that he is not the member of the any Stock Exchanges including NSE/ BSE nor he is Authorised Person or remiser to any other member of the Exchange.

- (v) Unless otherwise agreed in writing by the Member, Client agrees and confirms that the Member and the Client shall in no circumstances be considered as persons acting in concert or as persons co-operating with each other (directly or indirectly) or as persons having a common objective or purpose of substantial acquisition of shares or voting rights or gaining control over any company, whose shares are purchased by the Member for and on behalf of and on account of the Client.

- (vi) The Client understands, agrees and confirms to provide copies of Annual Accounts, Returns or any other document that may be asked for by the Member to comply with Prevention of Money Laundering Act, 2002, as amended. If the Client fails to provide the documents, as may be required by the Member, the Member reserves the right to terminate the relationship forthwith.

(b) ACTING AS AN AUTHORISED PERSON

The Client agrees not to act as an Authorised Person without prior written permission of the Member and without obtaining certificate of registration from the Stock Exchange(s). (c) APPOINTMENT OF AGENCY FOR OUTSOURCING ACTIVITIES

Member may appoint from time to time any person(s)/agency(ies) at its sole and absolute discretion to undertake the verification of my identity and address for conducting the due diligence, outsourcing of operational activities, including but not limited to, processing of any documents, printing of various statements/ reports relating to clients and/or for carrying out the acts mentioned in or in relation to this confirmation/authorisation. Client/s hereby give my/our consent to Member to undertake the verification of my identity and address, and to outsource any operational activity and/or to disclose all my information to such person(s) /agency(ies) as appointed by Member. I/We also hereby authorize member to share my information to any of its group entities for cross selling of their products and services.

(d) DISCLAIMER

The Client agrees that all investments and own evaluation of financial circumstances and Investment objectives. This extends to any decision made by the Client on the basis of any Information that may be made available by the Member/ Sub-Broker through its website www.incredequities.com or through any other media. The Client will neither hold, nor seek to hold

the Member/ Sub-Broker, as the case may be, or Subsidiaries, Affiliates or Business Associates liable for any trading losses, costs or damage incurred by the Client consequent upon relying on investment information, research opinion or advice or any other material/ information provided by the Member/ Sub- Broker as the case may be. The Client is aware that any information provided by the Member through any medium based on the research of the Member or other external sources is subject to variations in the stock market and is merely an estimation of the availability of certain investments. The Client should seek independent professional advice regarding the suitability of any investment decision before acting on such reports and Member shall not be liable under any circumstances for any losses, costs, charges, expenses incurred/suffered by the Client based on such reports.

The client/s have noted that the client/s will be provided a login and password to access the back office of member whereby, the client/s can access various documents/details pertaining to the client/s account viz, Digitally Signed Contract Notes, Statement of Account, Statement of Margin & Securities and other documents. The client/s further agree and confirm to the following terms in this regard:

- a. The term Portal shall mean any Internet portal or Website or Mobile App on which the client/s can view the documents after logging in by using the Login Id and Password provided by Member.
- b. the client/s shall be responsible for keeping my password secret and not to make it available to any other person to prevent misuse of information meant for me.

(e) **AUTHORISED PERSON**

The Client confirms and agrees to inform to the Member in writing any change in the name of authorised representative, subject to applicable guidelines of SEBI/Exchange if any, failing which the Client shall be responsible for the trade obligations arising out of the actions of both the old representative as well as the new representative.

2. RISK DISCLOSURE

The Client confirms, declares and agrees that:
(a) Client shall deposit with the Member such monies, securities "Fixed deposit, Bank Guarantee or any other securities as may be permitted by Exchanges" which may be required to open and/ or maintain his account with the Member.

- (b) All monies, securities "Fixed Deposit, Bank Guarantee or any other securities as may be permitted by Exchanges" which the Member may hold on Client's account shall be held subject to a general line for the discharge of Client's obligations to the Member.

- (c) The Client shall not exercise a long or short position where, acting alone or in concert with others, directly or indirectly the Client will have exercised in excess of the number of permitted derivatives contracts as may be fixed from time to time by the Exchange.

3. MARGINS

- 3.1 The Client shall make the prescribed upfront margin/initial margin in the form of cash, securities or any other form as deemed fit. Member may impose haircuts on securities at its own discretion which may be more than what is prescribed by the above-mentioned regulatory authorities. This would be in line with the risk management policy of Member and various rules and regulations of the concerned Regulators. Member in its sole and absolute discretion have the right to collect margins whether/or not imposed by exchange, clearing house or SEBI. Member can have its own list of securities which is acceptable by it for the purpose of margin. Member may at any time amend the margin requirements, the list of approved securities accepted as margin, and intimate the same by conspicuously posting notice of such amendment on its website or may communicate the same individually to the client either through physical or electronic form. The communication of said amendment through such mode and continued use of the services of Member by the client after such notice will constitute valid acknowledgement and acceptance of such amendment. Any reference in these terms to Sale or Transfer of Securities by the Member shall be deemed to include Sale of Securities which form part of the Margin maintained by the Client with the Member. In exercise of the Member's Right to Sell Securities, the Client agrees that the choice of specific Securities to be sold shall be solely at the Member's discretion.

- 3.2 The Client confirms that the Member is permitted in its sole and absolute discretion to collect additional margins (even though not imposed by the Exchange, the Clearing House or SEBI) and the Client shall be obliged to pay such margins.

(a) **Margin on Purchase:**

Client confirms and agrees to deposit upfront interest-free margin as may be intimated by the Member from time to time on the price of the securities proposed to be purchased.

(b) **Margins on Sales**

The Client confirms and agrees to deposit interest free margin as may be intimated by the Member from time to time on the price of securities proposed to be sold.

- (c) **Margins in Derivative Contracts** In the Derivative Segment/ Currency Derivatives Segment, the Client agrees to pay an initial margin upfront on or before creating a position. Such margin shall be decided upon by the Member or the Exchange from time to time. Further more, the Client is liable to pay (or receive) daily margins depending on whether the price of the Derivatives

Contract moves for or against the position under taken. The Client may also be liable to pay withholding margins, special margins or such other margins as are considered necessary by the Member or the Exchange(s) from time to time.

- (d) Mark to Market Margin in Cash & Equity Derivative Contracts/ Currency Derivative Contracts For Derivative Contracts, the Client agrees that the Member shall raise bills on daily basis. The Client also agrees to pay an upfront margin at the beginning of the day that will be sufficient to cover the daily margins if at any time during the day, the cumulative Mark to Market

(MTM) margin falls short of the margin available in the Client's account, agrees to heed the Member's additional margin calls. As the upfront daily market margin calls are purely for operational convenience, the Client will ensure that the margins are adequate at all times and will immediately make good any shortfall that the Member may communicate.

- (e) Payment through Cheque/ Demand Draft Client understands that in case where the payment by the Client towards the margin is made through a cheque issued in favour of the Member, trade(s) will be executed by the Member only upon the realisation of the funds of the said cheque or at the discretion of the Member. The Client agrees to mention his/ her/its Client code along with his name on the reverse of any instrument through which he makes the payment to the Member. Client further understands and agrees that the Client shall prepare Demand Draft/ Pay Order out of his own funds and agrees to provide Banker Certificate and/or source of the funds in case of any request made by the Member. However, the acceptance of pay order/demand draft will be on exceptional circumstances and at the sole discretion of member based on the satisfactory explanation received from the Client regarding the source of funds.

- (f) Margin in the form of Securities The Client may place margin with the Member in form of securities as approved by the Member. Such securities may at the discretion of the Member be marked as Lien/Pledged in favour of the Member from the Depository Account of the Client or such securities may be placed in a separate Depository Account of the Member. Client confirms that the Member may, at its own discretion, treat the securities lying in the Depository Account of the Client, as margin, where the Client has executed a Power of Attorney in favour of the Member, for operating the said Depository Account. The Client may place/ deposit only those securities, which are acceptable to the Member. If at any time, a particular security ceases to be on the list of approved securities, the Client shall provide such other margins as may be required in place of such security. The Client agrees and authorises that the Member will determine the market value of securities placed as Margin after applying a haircut at least at the rate

prescribed by SEBI/ Exchange that the Member deems appropriate. The Client's positions are valued at the latest market price available ('marked to market') on a continuous basis by the Member. The Client undertakes to monitor the adequacy of the collateral and the market value of such securities

on a continuous basis. If due to price fluctuations, there is erosion in the value of the Margins, the Client agrees to replenish any shortfall in the value of the Margins immediately. The Client understands that the Member may grant exposure to the Client at its sole discretion based on the securities purchased by the Client through the Member after paying entire purchase price and which securities are kept in the Demat Account of the Client with Power of Attorney executed by the Client in favour of the Member with a request to treat such securities as Margin.

- (g) Type of Margin The Client confirms that the Member has a sole discretion to prescribe the payment of Margin in the form of cash instead of securities. The Client accepts to comply with the Member's Right of Payment of Margin in the form of cash immediately failing which the Member may sell, dispose, transfer or deal in any other manner the securities already placed with it as Margin or square off all or some of the positions of the Client as it deems fit in its discretion after intimation of shortfalls and debits and any resultant or associated losses/profit that may occur due to such square off/sale shall be borne by/ paid to the Client, and the Member is hereby fully indemnified and held harmless by the Client in this behalf.

- (h) Margin with Exchanges/ Clearing Corporation/ Clearing Member: (h). The client hereby authorizes member to offer and deposit his/her funds and/or any other collateral placed by him/her and lying with member as margin/collateral with the stock exchange(s) and/or the clearing corporation(s) of such exchange(s) and/or clearing member appointed by member and/or any other clearing member regulated by SEBI towards margin requirement for availing trading exposure limits on behalf of the client. The client hereby further gives his/her consent to member to keep the funds lying as credit balance in his/her brokerage (ledger) account maintained with member in bank deposits and retain the interest, if any, accrued thereon with it at the members' sole discretion. The client hereby also give his consent to the member to mark lien on such bank deposits in favour of the exchanges/clearing corporations/clearing members/banks as margin for availing trading exposure for and on behalf of the member. The client hereby declares and confirms that the funds and/or other collaterals which are and/or shall, in future be placed/lying with or transferred to member are and/or shall be, and will continue to be owned by the client and free from any and all charges, pledge, lien or encumbrance of any kind or nature whatsoever save and except for the encumbrance created in favour of Incred Capital.

(i) In the event of any debit balance in the account of the client with member in any of the exchanges and also if the client is not furnishing 50% Cash / Cash equivalent component as margin for Cash /FNO / Currency and any other segment as per the norms prescribed by member / exchanges from time to time, member shall have absolute discretion to levy interest at the rate of 24% per annum on such outstanding amounts and on shortage of 50% Cash / Cash equivalent component margin for Cash /FNO / Currency and any other segment or part thereof or at such other lower rate as may be determined by member. The client hereby authorises the member to debit the amount of interest on delayed payment & shortage of 50% Cash / Cash equivalent component margin Cash /FNO / Currency and any other segment to his/her brokerage account with member at such intervals as may be decided by member. The client further authorised InCred Capital to offset such interest due for the client against the dues owed by member to the client”.

(j) The client hereby agrees to pay such interest free security deposits as may be decided by member from time to time

Other Provisions

(i) The Client confirms and agrees that Client is responsible for all equity orders, including any orders that may be executed without the required margin in the Client's account. If the Client's order is executed despite a shortfall in the available Margin, the Client shall, whether or not the Member intimates such shortfall in Margin to the Client, instantaneously make up the shortfall either through delivery of shares from his own Demat Account in the event of a sale, or credit the required funds in the Bank Account via RTGS or Wire Transfer or Personal Cheque, Cashier's Cheque or Money Order or Account Transfer or any other mode as may be required by the Member.

(ii) The Client confirms that any reference in these terms to sale or transfer of securities by the Member shall be deemed to include sale of the securities, which form part of the Margin and/ or such securities of the Client which are in possession or control of the Member, maintained by the Client with the Member. In exercise of the Member's right to sell securities, The agrees that the choice of specific securities to be sold shall be solely at the Member's discretion.

(iii) For the purpose the term “Dues of Client” shall include the amount of money payable to the Client including, but not limited to, the purchase price of the Securities, Brokerage, Margin Money. Service Tax, Turnover Tax, Auction Debit and Lawful Charges, Service Charge and other Lawful Amounts agreed to and payable by the Client to the Stock- Broker. Any incentive, rebate, rounding of amounts, collected from the Client on account of such taxes and charges or offered by the Exchanges may not be passed on to the Client and retained by the Stock Broker.

Amendment in Margins

Any amendment in the percentage of Margins as required to be maintained under these Terms and Conditions, shall be intimated by the Member to the Client over the telephone or in writing and by posting the details on its website of the Member as may be intimated.

The Client is required to replenish the shortfall in such Margins, if any, on demand of the same by the Member or otherwise immediately.

(i) All margins provided by the Client shall be interest free and the Member shall not be liable to pay any interest on the same irrespective whether the same forms part of any investment by the Member in Fixed Deposits with the Bank or in any other instrument as may be approved by the Exchange or SEBI from time to time.

(ii) In the event of any change in Margin percentage by the Exchange, the Member may change the applicable Margin percent immediately and result of the same shall be dealt with in the same manner as specified in shortfall in Margins specified here in above.

4. EXECUTION OF ORDERS

(a) The Client confirms and agrees that placing an order with the Member including a Market Order, does not guarantee execution of the order. The Member has the absolute right to reject any order that may be made by the Client for any reason such as insufficient margin, debit balance, anti-money laundering requirement/ policy, risk perceptions/ policy etc.

(b) The Client agrees that if, under any circumstances

or for any reason, the market closes before the acceptance of the order by the Exchange, the order may be rejected. The Client agrees further, that the Member may reject orders if the same are rejected by the Exchange for any reason. In case of rejection of an order due to rejection by the Exchange, the Client agrees that the order shall remain declined and shall not be reprocessed, in any event.

(c) The Client agrees that he shall not enter into trades at unrealistic prices from the current market price or at manipulates prices or cross/ synchronized trading, etc. The Client further understands and agrees that Member shall have right to reject the orders placed by the Client and/or put circuit breakers to discourage trades getting executed at unrealistic prices from the current market price of the contracts which creates artificial liquidity or manipulates prices or to discourage Client from cross/ synchronised trading and Member shall not be liable for any loss arising out of non acceptance or rejection of the Client orders by the Member for any such reason if the Client fails to give sufficient reason for placing such orders.

- (d) The Client is aware that the Electronic Trading System either at the exchange or in the member's office is vulnerable to disruptions, breakdown or failures, in the event of non-execution of trade orders or trade cancellation due to the happening of such events or vulnerabilities due to failure/ disruption/ breakdown of system or link, the Client may not be able to execute the desired transactions. In such an event the Member does not accept responsibility for the losses, costs, expenses or damages that may be incurred by the Client due to such eventualities.

5. CANCELLATION OR MODIFICATION OF ORDERS

The CLIENT confirms and agrees that:-

- (a) The execution of order cancellations or modifications is not guaranteed. Cancellation of orders is possible only if the original order remains pending at the Exchanges. Market orders are subject to immediate execution. The Client shall not presume that an order has been executed or cancelled or modified the moment he/she/it informs Incred Capital and the Client is required to verify the status of his/its orders with the Trade confirmations by the Member.
- (b) Unless otherwise specified by the Member, any order not executed at the end of the day shall stand cancelled.
- (c) In the event of trade cancellation due to any events or vulnerabilities, Member shall be entitled to cancel relative contract(s) with the Client. At times, due to unforeseen circumstances the Member may not be able to execute the desired transactions (either the Client's own transactions or transactions for enforcing margins as provided under this terms and conditions) on a timely basis. The Member does not accept responsibility for any losses that the Client may incur on such eventualities beyond the control of the Member.
- (d) The Member shall have Right to Reject any order based on its risk management policy.

6. PAYIN/PAYOUT OF FUNDS

- (a) The Client agrees that the Member shall not be obliged to pay to the Client his share of money unless and until the same has been received by the Member from the Exchange, the Clearing Corporation/ Clearing House. Unless the Member otherwise determines, and subject to the member's right to set off and other rights as mentioned in these Terms and Conditions, the sale proceeds to be paid by the Member to the Client will be deposited in the designated account of the Client.
- (b) The Client understands and undertakes that he will give the funds from only his own Bank to honour pay-in obligations.
- (c) At all times, the Client agrees to make the payment of funds only in the name of the Member titled "M/S. InCred capital wealth portfolio Manager Pvt. Ltd." Vide a account Payee Cheque/ Demand Draft drawn on a Scheduled Bank from his/her own account, with

details of the Client code and the name of the Client mentioned on the reverse of the instrument. However, acceptance of Demand Draft is under exceptional circumstances and to the sole discretion of the Member as specified in clause.

- (d) The Client agrees that the Member shall not be responsible for any loss, damages in respect of any funds which are deposited/ transferred to any account other than that of the member's designated Account. The Client/s shall reimburse to Member, the charges levied by the bank in case of dishonour of cheque due to non-availability of sufficient funds in Client/s bank account.
- (e) In the event of Client's account receiving an incorrect credit/debit by reason of a mistake, the Member shall be entitled to reverse such incorrect credit/debit at any time whatsoever. The Client shall be liable and continue to remain liable to the Member for any incorrect gain obtained as a result of the same and the Member reserves the right to take such remedial measures against the Client for recovery of the erroneous credit.
- (f) In the event, Client/s bought any security on the Exchange platform (either in the cash/capital market segment or in the F&O Segment where on the expiry day our open position at end of the day gets converted into the delivery buy) and prior to actual receipt of delivery of the said security in the pay-out, if Client/s sell the same, then Client/s shall be doing any such selling at our own risk and consequences. If Client/s fail to meet the pay-in obligation of our such sell position due to short / non receipt of the delivery of the said security in the pay-out, then Client/s shall be solely responsible for any auction/close out taking place due to our inability/failure to meet the said pay-in obligation. While doing transaction under the Securities Lending and Borrowing Segment ("SLBM Segment") before offering any security for lending, Client/s shall ensure that the said security is either lying in our demat account which is operated by Member as our power of attorney holder or we do an advance pay-in of such security, failing which Client/s shall be solely responsible for any auction/close out taking place due to my/our inability/failure to meet the pay-in obligation of the lending transaction.

7. MEMBER CLIENT COMMUNICATION

- (a) Notice or Communication. All notices or communication issued under this confirmation/authorisation shall be served in any one or more or all of the following ways and such notice or communication shall be served at

the ordinary business address and/or ordinary place of residence and/or last known address of the client/s in any one or more of the following ways: by post, by registered post, by express delivery post, by oral communication to the party or on the last known telephone number or on the recording machine of such number, by electronic mail (email) or fax, by hand delivery. Any communication sent by Member to Client/s shall be deemed to have been properly delivered or served, even if such communication is returned to Member as unclaimed/ refused/ undelivered, if the same is sent to the ordinary business address and / or ordinary place of residence and / or last known address of Client/s, in any one or more of the ways as mentioned above. Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between Member and Client/s may be communicated orally.

- (b) **CHANGE OF ADDRESS AND EMAIL ID** Unless the Client informs the Member of any change of the address and E-mail id for communication in writing, all notices, circulars, communication or mail sent to the existing address shall be deemed to have been received by the Client.

8. MISCELLANEOUS PROVISIONS

- (a) **LIMITATION OF LIABILITY** The Member does not guarantee, and shall not be deemed to have guaranteed, the time liness, sequence, accuracy, completeness, reliability or content of market information, or messages disseminated to the Client or the execution of the orders placed by the Client. The Member shall not be liable for any inaccuracy, error or delay in, or omissions of,

- 1) Any such data, information or messages, or
- 2) The transmission or delivery of any such data, information or messages, due either to any act or omission by the member or to any "Force Majeure" event (e.g. flood, extraordinary we at her condition, earthquake or other any act of God, fire, war, insurrection, riot, labour dispute, accident, action of government communication, power failure, shut down of the systems for any reason (including on account of computer viruses), equipment or software malfunction);
- 3) Cancellation or non execution of the order placed by the Client with the Member. The Member shall not be liable for any inaccuracy, error, false statement, misrepresentation or fraud committed by third parties engaged by the Member to promote the services offered by it. The Client agrees that in case of any error or inaccuracy found or in case of any doubt about representation made by any sales or other associates or such third parties then Client will Communicate with MEMBER's Head Office and confirm the same. The Client agrees that he/ she/ it will exercise due care and diligence in relying on any statements made by any person.

- (b) **SHARING OF INFORMATION**

The Client agrees and confirms that the member, without diluting any confidentiality obligation and sharing and information from Broker's system, may make available client related details/information to Lawyers, Consultants, Auditors, Vendors, IT software applications requirement etc. The Client/s hereby voluntarily accept and expressly authorize Member to procure and share my/our information from Member or from any other Depository Participant of its group/associate companies with whom The Client/s have the Demat account/s. The Client/s hereby also voluntarily accept and expressly authorize Member to share/disclose or use in any manner, the information/documents/data about The Client/s and Member transactions both ongoing and closed, with any other Depository Participant of its group entities & group of associates companies which are offering the products/facilities. The member hereby confirms that it will not share any Client information unless required by authority under law.

- (c) **TAPE-RECORDING OF CONVERSATION**

The Client is aware that the Member can tape record the conversations between the Client's representative and the Member, either personally or over the telephone, and hereby specifically permits the Member to do so. Such recordings may be relied upon by the Member as and when required to resolve disputes in connection with the trading transactions.

- (d) **CONCLUSIVENESS OF RECORDS**

The member's own record of the trades/ transactions maintained through computer systems or otherwise shall be accepted by the Client for all purposes.

- (e) **ASSIGNMENT** The Client confirms and agrees that Client shall not assign or transfer all or any of its Rights or Obligations.

- (f) **SEVERABILITY** The Client confirms and agrees that in case anyone or more of the Terms and Conditions confirmed by the Client becomes invalid, illegal or unenforceable in any respect under any law, the validity, legality and enforceability of the remaining provisions contained herein shall not in anyway be affected or impaired thereto.

- (g) **INDEMNIFICATION**

The Client/s agree to indemnify and hold Member, its directors, employees, business associates, agents and affiliates harmless from and against any and all claims, demands, actions, proceedings, losses, liabilities, costs and/or expenses (including but not limited to penalties

or costs imposed by the Exchange(s) and proceedings) arising from, out of, or in connection with or in relation to:

- (i) the breach of any obligation by The Client/s under, or any representation, warranty and/ or covenant made by me/us.
- (ii) any third-party rights arising out of the services rendered by Member pursuant to these terms and conditions; or
- (iii) any other wrongful act on my/our part.

9. MUTUAL FUND SERVICE SYSTEM FACILITY / BSE STAR MF

Client is registered with Incred Capital Wealth Portfolio Managers Pvt. Ltd. and has executed Know Your Client Form and certain other documents for the purpose of trading in securities market on the recognized Stock Exchange (herein after referred as "Exchange"). In case client opts for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the SEBI recognized Stock Exchanges (Mutual Fund Transaction Facilities). Know Your Client details as submitted by the client for the stock broking shall be considered for the purpose of Mutual fund transaction facilities and abide by the terms and conditions as mentioned in the circulars as may be specified by the Exchanges from time to time in this regard. Client shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). Client shall read & understand the contents of the Scheme Information Document and Key Information Memorandum, addendum issued regarding each Mutual Fund Schemes with respect to which client choose to subscribe / redeem. Client further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes. Client confirm to have read & understood the terms & conditions for using Mutual Fund transaction facility as stated in KYC handout (customer copy). Client is aware that he/she can transact directly with the AMC without recourse to Distributor's name at any time under the folio(s) tagged with the Distributor's name/ broker code. The Client agrees and authorizes Incred as distributor of mutual funds to communicate on his/her behalf with the AMCs for financial and/or on-financial transactions including for receiving investment details from the AMC.

10. Internet Based Trading (IBT):

- (a) The Client/s confirm that I/We am aware and acknowledge that trading over the internet involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, etc. which are susceptible to interruptions and dislocations; and Member's IBT Service may at any time be unavailable without further notice. Member do not make any representation or warranty that Member's IBT Service will be available to me at all times without any interruption. The Client/s agree that I/We shall not have any claim against Member on account of any suspension, interruption, non- availability or

malfunctioning of the Member's IBT System or IBT Service or the Exchange's service or systems for any reason whatsoever.

- (b) The Client/s understand that in my/our internet based trading/Wireless On-line trading login of Member, the holding of securities includes security which are bought by me on the Exchange platform (in the cash/capital market segment and in the F&O Segment where on the expiry day my open position at end of the day gets converted into the delivery buy), but delivery of the said security is yet to receive in the pay-out (hereinafter referred as "Unsettled Delivery Buy Position"). The Client/s will ensure that I/We will sell security, which are Unsettled Delivery Buy Position, only after the delivery of the same is received in the payout. If The Client/s sell the same prior to actual receipt of delivery of the said security in the pay-out, then The Client/s shall be doing any such selling at my own risk and consequences and The Client/s shall be solely responsible for any auction/close out taking place due to my failure to meet the pay-in obligation arising out of such sell trade.

11. ADDRESS FOR COMPLAINT/ INVESTOR GRIEVANCES AND COMMUNICATION

The Client understands and confirms to send all the Complaints and queries in case of any grievance or complaint arising out of and in the course of trading in securities on the email address

at **customer.service@incredcapital.com**. Alternatively, the Client shall send the written complaint marked to Investor Grievance Cell, Incred Capital Wealth Portfolio Managers Pvt. Ltd., Unit No 1203, B Wing, 12th Floor, The Capital, C-70, G Block, BKC, Bandra East, Mumbai 400051, Maharashtra.

12. DISPUTE RESOLUTION

The Client agrees and confirms that except for the claims/disputes which are subject to the Rules and Regulations of the respective Exchanges on which the trades have been executed, any and all claims and disputes arising out of or in connection with the trading account or its performance shall be settled by arbitration by a single arbitrator to be appointed as mutually decided by the client and the Member. The arbitration shall be governed by the provisions of the Arbitration and Conciliation Act, 1996.

The Client/s specifically agree that any dispute or issue arising hereunder shall be governed by and construed exclusively in accordance with the Indian Laws and shall be subject to the exclusive jurisdiction of the courts at Mumbai in India.

JURISDICTION

- (a) The Member and the Client declare and agree that the transactions executed on the Exchange are subject to the Rules, Bye-laws and Regulations and Circulars issued thereunder of the Exchange and all parties to such trade shall have submitted to the

jurisdiction of such court as may be specified by the Bye-laws and regulations of the Exchange for the purpose of giving effect to the provisions of the Rules, Byelaws and Regulations of the Exchange and the Circulars issued thereunder.

- (b) The Member hereby agrees that it shall ensure faster settlement of any arbitration proceedings arising out of the transactions entered into between the Member and the Client and that it shall be liable to implement the arbitration awards made in such proceedings.

13. PROPRIETARY TRADING

The Client confirms and acknowledge that the

DECLARATION (Applicable for NRIs only)

In continuation to the terms and conditions for opening of trading account and accepting rights and obligations I/we hereby declare and undertake that:

1. I/We are making investment in securities/shares through member broker;
2. I/We have one Bank Account and Demat Account for the above investments. The details of the same are provided in Trading account related detail
3. I/We are aware of the rules and regulations of the NRI investments in India, Anti-money laundering rules and regulations and keep ourself updated from time to time. I/We hereby declare that I/We have complied with and will continue to comply with FEMA regulation or other applicable laws, regulations of RBI, SEBI or any other statutory Authority from time to time. Income tax or other tax liability is our responsibility and the same will be borne by and paid by me. I hereby acknowledge that I have received and understood this authorization to maintain the account. I/We _____ have requested to open the Demat a/c with you. I/We have given following address in the a/c opening document which is on the basis of my P.O. Box no. My/us complete address as on date is as follows:

Foreign Address			
Country		PIN code	
Telephone No.		E-mail ID	

In case any changes in my/us above mentioned address I/we will intimate InCred Capital Wealth Portfolio Managers Private Limited.

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ We are aware that I/We may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the Stock Broker and the Tariff Sheet.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on Stock Broker's designated website, if any.
4. I/ We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I/ We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details/Particulars mentioned by me/us in this form. I/We further agree that any false/misleading information given by me/us or suppression of any material information will render my/our account liable for termination and suitable action.

DISCLAIMER

I/We, _____,

(herein after referred to as "Client") voluntarily and unconditionally hereby state and declare that I/We have read and understood the voluntary Terms and Conditions mentioned herein above governing the services of InCred Capital Wealth Portfolio Managers Pvt. Ltd. (hereinafter referred to as "Member" or "Stock-Broker") and agree to be bound by the same.

	First/Sole Holder	Second Holder	Third Holder
Signature			

Date

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

Place

VOLUNTARY RUNNING ACCOUNT AUTHORISATION LETTER

To,
InCred Capital Wealth Portfolio Managers Pvt. Ltd. ("ICWPMPL")
 Unit No. 1203, 12th Floor, B Wing, The Capital, C-70, G Block, BKC
 Bandra (E), Mumbai – 400 051.

1. Voluntary Authorization for Running Account maintenance. ☐ Yes ☐ No

This is in reference to your instructions on the above matter.

I/We am/are one of the Clients registered with you for executing my/our Trades from time to time in the capital market segment and Futures and Options segment of NSE and BSE. At times, I/We may have credit balances in our account/s. In order to ensure that we meet our obligations on time, we request you to retain the credit balance in our account with you and utilize the same for our future transaction obligations. We confirm that we shall not claim any interest from you on the same. These instructions on my/our behalf may be treated as standing instructions unless otherwise cancelled/revoked by me/us at any time. The revocation of this authorization is effective once a written revocation request is received by you at your Registered Office.

I/We agree and authorize you to settle the Funds at least.

☐ Once in a calendar quarter ☐ Once in a calendar month

However, in case of outstanding obligations in the Capital Market Segment/ F&O segment/ or any other segment on the settlement date, you shall retain requisite Funds towards such outstanding obligations and may also retain the funds expected to be required to meet margin obligations for next five trading days or as notified by regulatory authority from time to time.

I/We agree to bring any dispute on our transactions or funds or securities positions within 7 days from the date of receipt of Funds or Statement as the case may be.

The above authorization is given in spite of our understanding that you are required to make the payment of Funds to my/our Account within one working day from the declaration of payout from the Clearing Corporation.

2. Voluntary Authorization for Sharing of Data and Information. ☐ Yes ☐ No

- a. I have opened a trading account with ICWPMPL having the captioned client code and demat account with ICWPMPL-DP having the captioned client code and am interested in knowing about various financial products/facilities offered by your associate/group companies. I am aware that associate/group companies are required to obtain information about me and my transactions for providing various financial products/facilities.
- b. I authorize you, your group companies and associates to keep me informed with any financial product which ICWPMPL, its group companies and associates presently issue, deal in, or distribute or may, from time to time, launch, issue, deal in or distribute through e-mail, SMS, telephone, print media or otherwise as may be allowed.
- c. I hereby voluntarily accept and expressly authorize ICWPMPL to get the information from ICWPMPL-DP and share/disclose or use in any manner, the information/documents/data about me and our transactions, with group of associates companies which is offering the products / facilities. Information provided by me in the Trading and Demat Account Opening Kit. Transaction cum holding statement with ICWPMPL-DP and Any other related information. My holdings in stocks/securities. Ledger balances in my Trading/Demat Account across all Exchanges/Depositories.

Continued on next page...

VOLUNTARY AUTHORISATION LETTER

- d. I authorize you To the extent appropriate for our relationship with you, personal informatioshared for the following purposes :
- To comply with applicable laws, rules and regulations, including anti-terrorism, KYC, anti- money laundering and tax reporting rules and regulations.
 - To comply with legal process, to respond to requests from public, regulatory or government authorities (including authorities outside your country of residency), and to allow us to pursue remedies and limit damage.
 - To any of our associate / affiliate / group entities including our service providers performing delegated outsourced function to enable them to perform internal business processes (which facilitate transactions) such as risk management purposes, data analysis, audits, developing and improving new products and services, etc.
 - To any of our associate / affiliate / group entities to enable them to provide you with appropriate products and services.
- e. I have no objection to ICWPMPL sharing the above information or any such other information, about me/us with its group/associate companies or affiliates. This is without legal obligation on you, your group companies and associates to so inform and you or they may, in their discretion, discontinue sending such information.
- f. I/We confirm having read, received, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, terms & conditions applicable for Margin Trading, Risk Disclosure Documents & Do's & Policy on Handling of My Good Till Date Orders, Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Clients, Rights and Obligations applicable for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants & the tariff sheet, as available on the website on the company. I/We am/are further aware that a copy of Terms & Conditions governing Stock Broker, Risk Disclosure Document, Policy on Handling of My Good Till Date Orders, Policies and Procedures, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Authorized Persons & Clients, Rights and Obligations of Stock Brokers & Clients for Margin Trading Facility as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document. This KYC document shall be subject to the jurisdiction of the Courts in Mumbai. Further the conciliation hearing through SEBI ODR mechanism will be confidential and any video/ recording/ statements made related to the same will not be considered as evidence in court of law.

	First Holder	Second Holder	Third Holder
Name			
Signature(s)			

VOLUNTARY DOCUMENT

DEMAT DEBIT AND PLEDGE INSTRUCTION VOLUNTARY REQUEST FORM

Client Name : _____

DP ID : 12091000 Client ID : _____ Client Code : _____

Dear Sir/Madam,

Date : _____

I/We is/are executing the Demat Debit and Pledge instruction in favour of Incred Capital Wealth Portfolio Managers Private Limited (Incred Capital) authorising them to operate aforesaid beneficiary account for the below mentioned specific purpose.

Sr no.	Purpose	Signature of First Holder*	Signature of Second Holder*	Signature of Third Holder*
1.	Transfer of securities held in beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.			
2.	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.			
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4.	Tendering shares in open offers through Stock Exchange platforms.			

Note: This authorization will continue to remain valid until revoked in writing by you (pursuant to SEBI Circular no. SEBI/HO/MIRSD/DoP/P/CIR/ 2022/44 dated April 04, 2022).

For Incred Capital Wealth Portfolio Managers Private Limited

Authorised Signatory: _____

Institution Stamp

* the same may be signed physically against each purpose of DDPI

Annexure A

List of Demat Accounts of Incred Capital Wealth Portfolio Managers Private Limited

Sr no.	Account holder* Name	DP ID	Client ID	Purpose
1.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	IN300966	11316263	NSDL-TM POOL A/C
2.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00012777	CDSL-TM POOL A/C
3.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00000039	CDSL-BSE CM POOL A/C
4.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00000011	CDSL-NSE CM POOL A/C
5.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	IN301348	20159654	NSDL-BSE CM POOL A/C
6.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	IN301348	20159646	NSDL-NSE CM POOL A/C
7.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00000193	CDSL-BSE/NSE TM/ CM CMPA
8.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	IN301348	20159390	NSDL-BSE/NSE TM/ CM CMPA
9.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00001368	CDSL-NSE CM SLB
10.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00004276	CDSL-CORPORATE TM/ CM CMPA-MTF
11.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00004261	CDSL-CLIENT SECURITIES MARGIN FUNDING
12.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00013918	CDSL-CORPORATE CM/TM CUSPA ACCOUNT
13.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00015058	CM/TM PROPRIETARY ACCOUNT
14.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00016714	CDSL-CORPORATE TM/CM CLIENT NODAL MFOS
15.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	IN301348	20306969	NSDL-CORPORATE CM/TM CUSPA ACCOUNT
16.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	IN301348	20159404	CDSL-CLIENT SECURITIES MARGIN FUNDING
17.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICWPMPL)	12091000	00000330	CDSL-CLIENT SECURITIES MARGIN PLEDGE ACCOUNT

Annexure A

List of Demat Accounts of Incred Capital Wealth Portfolio Managers Private Limited

Sr no.	Account holder* Name	DP ID	Client ID	Purpose
18.	Globe Capital Market Ltd (NSCC)	11000011	00014460	CDSL -NSE CM Early Payin A/C
19.	InCred Capital Wealth Portfolio Managers Pvt Ltd (ICCL)	11000010	00024466	CDSL -BSE CM Early Payin A/C
20.	InCred Capital Wealth Portfolio Managers Pvt Ltd (NSCCL)	11000011	00021252	CDSL -NSE CM Early Payin A/C
21.	InCred Capital Wealth Portfolio Managers Pvt Ltd (NSCCL)	11000023	00000898	CDSL -SLBS Early Payin A/C

Client Name: _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

MOBILE AND E-MAIL DECLARATION

To,
InCred Capital Wealth Portfolio Managers Private Limited
 Unit No.1203,12th Floor, B Wing, The Capital, C-70,
 G Block, BKC Bandra (E), Mumbai – 400 051.

Dear Sir,

Sub: SMS and E-mail Declaration for my Trading Account and Demat account with you

I/We request you to activate the facility of SMS and Email alerts for all communications and transactions in the trading account and Demat account with you. Kindly update my contact details are as below:-

➤ **Mobile No:** _____

• **Above Mobile Number belongs to** _____

• **Relationship: (Select any one option from the below)**

☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child

➤ **Email ID:** _____

• **Above Email ID belongs to** _____

• **Relationship: (Select any one option from the below)**

☐ Self ☐ Spouse ☐ Dependent Parent ☐ Dependent Child

Client Name: _____

	First/Sole Holder	Second Holder	Third Holder
Name			
Signature			

Date

Place

AUTHORISATION TO TRADE

InCred Capital Wealth Portfolio Managers Private Limited ("InCred Capital")

1203, 12 th floor, B Wing, The Capital,
Bandra Kurla Complex, Bandra (East), Mumbai 400051

Subject: Authorisation to place instruction to trade on my /our behalf

For smooth and convenient operation of my account, besides my/our instruction, I also hereby authorise following person to place/give instruction to InCred Capital for trade, request payouts, receive and acknowledge all the documents including Contract notes, Statement of Accounts, holding statements, quarterly statements etc. in my account.

I/we am/are the holder of a trading account Client Code _____ (Here in after referred to as the "Client") opened and maintained with you and wish to appoint _____ (Here in after referred to as the "Family Representative") s/d of _____ aged about _____ years presently residing at _____ to perform all or any of the following acts, deeds and things, for and on my/our behalf and in my/our interest.

Name of the Family Representative	Relation with client	Address of the Family Representative	Mobile of the Family Representative	Email id of the Family Representative	Signature of the Family Representative

NOTE:

1. Kindly note that authorisation should not be issued in favour of any employee or official of InCred Capital or its group companies / Authorised Person.
2. Family Representative should be Spouse, dependent children and dependent parents only.
3. Person to whom the authority is given should also submit his Pan Card and Residence Proof.
4. The above authorisation is given by client VOLUNTARILY.
5. I/we hereby agree and undertake that all such acts, deeds and things done by Family Representative shall be deemed to be binding up on me/us as the same has been done by me/us only and I hereby ratify all and such acts, deeds or things done by Family Representative in any manner whatsoever in discharge of the duties conferred upon him/her under the present instrument.
6. The above authorisation would be valid and binding on the client until withdrawn by the client in writing and acknowledged by InCred Capital
7. I/we hereby agree and undertake to indemnify and keep InCred Capital including directors, officers and employees in demnified against any loss, claims, liabilities, obligations, damages, actions, suits or proceedings aroused/accrued or caused to the InCred Capital for any wrong act, deed or thing done by the Family Representative in any manner whatsoever in exercise of the pow ers conferred upon him.

TRADING ACCOUNT DETAILS:

Name of the Account Holder: _____

Address: _____

Client Code: _____

Signature: _____

DETAILS OF WITNESS:

Sr. no	Name	Address	Signature
			

Date: _____

Place: _____

Most Important Terms and Conditions (MITC) (For non-custodial settled trading accounts)

InCred Capital Wealth Portfolio Managers Private Limited (“InCred Capital”)

1203, 12 th floor, B Wing, The Capital,

Bandra Kurla Complex, Bandra (East), Mumbai 400051

1. Your trading account has a “Unique Client Code” (UCC), different from your demat account number. Do not allow anyone (including your own stock broker, their representatives and dealers) to trade in your trading account on their own without taking specific instruction from you for your trades. Do not share your internet/ mobile trading login credentials with anyone else.
2. You are required to place collaterals as margins with the stock broker before you trade. The collateral can either be in the form of funds transfer into specified stock broker bank accounts or margin pledge of securities from your demat account. The bank accounts are listed on the stock broker website. Please do not transfer funds into any other account. The stock broker is not permitted to accept any cash from you.
3. The stock broker’s Risk Management Policy provides details about how the trading limits will be given to you, and the tariff sheet provides the charges that the stock broker will levy on you.
4. All securities purchased by you will be transferred to your demat account within one working day of the payout. In case of securities purchased but not fully paid by you, the transfer of the same may be subject to limited period pledge i.e. seven trading days after the pay-out (CUSPA pledge) created in favor of the stock broker. You can view your demat account balances directly at the website of the Depositories after creating a login.
5. The stock broker is obligated to deposit all funds received from you with any of the Clearing Corporations duly allocated in your name. The stock broker is further mandated to return excess funds as per applicable norms to you at the time of quarterly/ monthly settlement. You can view the amounts allocated to you directly at the website of the Clearing Corporation(s).
6. You will get a contract note from the stock broker within 24 hours of the trade.
7. You may give a one-time Demat Debit and Pledge Instruction (DDPI) authority to your stock broker for limited access to your demat account, including transferring securities, which are sold in your account for pay-in.
8. The stock broker is expected to know your financial status and monitor your accounts accordingly. Do share all financial information (e.g. income, networth, etc.) with the stock broker as and when requested for. Kindly also keep your email Id and mobile phone details with the stock broker always updated.
9. In case of disputes with the stock broker, you can raise a grievance on the dedicated investor grievance ID of the stock broker. You can also approach the stock exchanges and/or SEBI directly.
10. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. You will not have any protection/recourse from SEBI/stock exchanges for participation in such schemes.

First/Sole Holder	
Name	
Signature	

Date

Place

ACKNOWLEDGEMENT (OFFICE COPY)

InCred Capital Wealth Portfolio Managers Private Limited
(Formerly Known as BSH Corporate Advisors and Consultants Private Limited)

Unit No 1203, 12th Floor, The Capital, C-70, G Block,
 Bandra Kurla Complex, Bandra East, Mumbai – 400 051, India
 Phone: +91-22-68446100 Fax: +91-22-41611508

Date: _____

Form No.: _____

Dear Sir/Madam,

We hereby acknowledge the Receipt of the Account Opening Application form, received from Mr./Ms _____ as the Sole/ First holder.

Your DP ID and/ or trading code will be intimated to you once your account gets opened successfully.

Initial cheque details:

Amount: _____ Cheque No.: _____

Bank Name: _____ Date of Cheque.: _____

Name of the Sole/ First Holder	
Name of the Second Holder	
Name of the Third Holder	

InCred Capital Wealth Portfolio Managers Private Limited**DP & Trading Member Seal and Signature**

You may contact us at : +91-22-_____ • Email : _____

FOR OFFICE USE ONLY (TO BE FILLED BY RELATIONSHIP MANAGER)

UCC Code allotted to the Client _____

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

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

Date: _____

Seal/Stamp of the Stock Broker/ DP

IMPORTANT: Password for your account will be sent on your registered email ID only, login ID and alerts on mobile no. as mentioned in KYC form.

INSTRUCTIONS/GUIDELINES FOR FILLING KYC APPLICATION FORM

A. Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 One the following is mandatory: Mother's name, Spouse's name, Father's name..

B. Clarification / Guidelines on filling 'Current Address details' section

- 1 In case of deemed PoA such as utility bill, the document need not be uploaded on CKYCR.
- 2 PoA to be submitted only if the submitted Pol dose not have current address or address as per Pol is invalid or not in force.
- 3 State / U.T. Code and Pin / Post Code will not be mandatory for Overseas addresses.
- 4 In Section 2, one of I, II, and III, is to be selected. In case of online E-KYC authentication, II is to be selected.
- 5 In Section 3, one of I, II, III, and IV is to be selected. In case of online E-KYC authentication, II is to be selected.
- 6 List of documents for 'Deemed Proof of Address':

Document Code

Document Code

- | | |
|----|---|
| 01 | Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill). |
| 02 | Property or Municipal Tax receipt. |
| 03 | Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address. |
| 04 | Letter of allotment of accommodation from employer issued by State Government or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies leave and license agreements with such employers allotting official accommodation. |

- 7 Regulated Entity (RE) shall redact (first 8 digits) of the Aadhaar number from Aadhaar related data and documents such as proof possession of Aadhaar, while uploading on CKYCR.
- 8 "Equivalent e-document" means an electronic equivalent of a document, issued by the issuing authority of such document with its valid digital signature including documents issued to the digital locker account of the client as per rule 9 of the information Technology (Preservation and Retention of information by intermediaries. Providing Digital Locker Facilities) Rules, 2016.
- 9 'Digital KYC process' has to be carried out as stipulated in the PML Rules, 2005

C. Clarification / Guidelines on filling 'Contact details' section

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

D. Clarification / Guidelines on filling "Related Person details" section

1. Provide KYC number of related person, if available

E. Clarification on Minor

1. Guardian details are optional for minors above 10 years of age for opening of bank account only
2. However, in case guardian details are available for minor above 10 years age, the same (or CKYCR number of guardian) is to be uploaded.

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

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

List of ISO List of ISO 3166 two– digit Country Code

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

IMPORTANT INSTRUCTIONS

GENERAL

- 1 Trading Account will be in the name of First/ Sole holder of Demat and/or Bank A/c only.
- 2 Thumb impression and signatures other than English, 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.
- 3 Witness should be a person other than co-holder/ joint holder.
- 4 The applicant should authenticate any corrections/ alteration in the account opening form.
- 5 All the fields in the Form must be filled up otherwise the Form may be rejected.
- 6 Signature should be preferably in black ink. Incase of any correction cancellation, please provide counter signature on the left side of the page.

BANK DETAILS

- 1 Cheque/DD towards Registration fees & other charges should be drawn in favour of “Incred CapitalWealth Portfolio Managers Pvt. Ltd.”
- 2 It is mandatory to provide complete Bank Accounts’ details. In absence of complete details, form may be rejected.

DEMAT ACCOUNT

- 1 For Demat Account, Joint Holder and Nominee cannot be the same person.
- 2 Photographs to be signed across and pasted (Not Stapled) for all the holders in Demat as well as the
- 3 In case of joint applicants for Demat Account, copy of PAN, Proof of Address, Proof of Identity and FATCA-CRS Declaration for all Applicants is mandatory

InCred! Equities