

FORM NO. \_\_\_\_\_

# TRADING AND DEMAT ACCOUNT OPENING FORM NON 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

**INCRD 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](http://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



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BOOKLET 1  
MANDATORY AND VOLUNTARYBOOKLET 2 MANDATORY  
AND VOLUNTARY

**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 (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.

Name of Stock Broker / Trading Member / Clearing Member: 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)  
Primary Member Code - 90211  
BSE Membership - Trading Member (Capital Market, Futures & Options and Debt. Segment)  
Membership 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

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 Non-Individual

Types of Entity	Documentary requirements	Please Tick
Corporate	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).	
	Photograph, Proof of Identification, Proof of Address, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 25% of shares/capital/profits	
	Copies of the Memorandum and Articles of Association and certificate of incorporation.	
	Copy of the Board Resolution or Declaration (on the Letterhead) naming the persons authorised to deal in securities on behalf of company/firm/others and their specimen signatures for investment in securities market.	
	Authorised signatories list with specimen signatures alongwith photo.	
Partnership Firm	Copy of the balance sheets for the last 2 financial years (to be submitted every year)	
	Certificate of Registration (for registered partnership firms only).	
	Certified copy of partnership deed	
	Authorised signatories list with specimen signatures alongwith photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of capital/profits	
Trust	Copy of the balance sheets for the last 2 financial years (to be submitted every year).	
	Certificate of registration (for registered trust only).	
	Certified copy of Trust deed.	
	List of trustees certified by managing trustees/CA.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	
HUF	PAN of HUF.	
	Deed of declaration of HUF/ List of coparceners.	
	Bank pass-book/bank statement in the name of HUF.	
	Photograph, Proof of Identification, Proof of Address, PAN of Karta.	
Unincorporated association or a body of individuals	Proof of Existence/Constitution document.	
	Resolution of the managing body & Power of Attorney granted to transact business on its behalf.	
	Authorized signatories list with specimen signatures alongwith photo.	
	Photograph, Proof of Identification, Proof of Address, PAN of beneficiary owner who owns / entitled to more than 15% of property/capital/profits	

Types of Entity	Documentary requirements	Please Tick
Banks/ Institutional Investors	Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.	
	Authorized signatories list with specimen signatures alongwith photo.	
Foreign Institutional Investors (FII)	Copy of SEBI registration certificate.	
	Authorized signatories list with specimen signatures alongwith photo.	
Army/ Government Bodies	Self-certification on letterhead.	
	Authorized signatories list with specimen signatures alongwith photo.	
Registered Society	Copy of Registration Certificate under Societies Registration Act.	
	List of Managing Committee members.	
	Committee resolution for persons authorised to act as authorised signatories with specimen signatures.	
	True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.	
Photograph (Passport Size)	Promoters (more than 5% stake)/ Partners/ Whole time Directors/ Authorised Persons/ Trustees/Beneficiary owners	
PAN Card	Certified photo copy of PAN Card of the Non Individual Promoters (more than 5% stake)/ Partners/ Whole time directors/ Authorised Persons	
Bank Proof (Any One)	Bank Statement (not more than 3 months old & seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank certifying the account number and date from which the account is operational	
	Cancelled Personalized (in the name of the Non Individual Applicant) Cheque leaf	
Address Proof (Any One)	For the Non Individual Applicant	
	Bank Statement (not more than 3 months old & seal and signature of the bank official in case no latest transaction)	
	Ack. Copy of the IT Return	
	Leave & License Agreement/ Agreement for sale	
	Certified copy of Form No.18 filed with the Registrar of Companies along with filing fee receipt	
	For Promoters (>5 % stake)/ Partners/ Whole time directors/ Authorised Persons/ Trustees/ Beneficiary owners	
	Unique Identification Number (UID) (Aadhaar)	
	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License (Name, Address & photo page)	
	Bank Passbook/ Statement (not more than 3 months old seal and signature of the bank official in case no latest transaction)	
	Banker's Certificate on letter head of the bank	
	Electricity Bill (not more than 2 months old)	
	Resident Landline Tel. Bill (not more than 2 months old)	
Notarized Leave & License/ Rent Agreement/ Flat Sale Agreement		
Other* (Pls. Specify)		

Types of Entity	Documentary requirements	Please Tick
Identity Proof of Promoters (more than 5% stake)/ Partners/ Whole time Directors/ Authorised Persons /Trusties/ Beneficiary owners (Any One)	Valid Passport (Name, Address & photo page)	
	Voter ID (front and back)	
	Valid Driving License	
	PAN card	

\*Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/ Scheduled Co-Operative Bank/ Multinational Foreign Banks/ Gazetted Officer/ Notary Public/ Elected representatives to the Legislative Assembly/ Parliament/ Documents issued by any Govt. or Statutory Authority | Self declaration by High Court & Supreme Court Judges giving the address in respect of their own account | The proof of address in the name of the spouse may be accepted | Ration Card | Flat Maintenance Bill | Insurance Copy | Gas Bill | 1[Identity Card or Document with address, issued by Central or State Govt. & its dept., Statutory or Regulatory Authorities, Public sector undertaking, Schedule Commercial Bank, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWA, ICSI, Bar Council etc. to their members]

### IMPORTANT INSTRUCTIONS

1 Additional documents in case of trading in derivatives segments – illustrative list:

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

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

- 2 Copy of cancelled cheque leaf/passbook/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- 3 Demat master or recent holding statement issued by DP bearing name of the client
- 4 For Non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. Copy of Board Resolution or declaration (on the letter head) naming the persons authorized to deal in securities on behalf of company/firm /others and their specimen signatures.

### 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 by the applicant otherwise the Form may be rejected
- 6 In case of Non Individual Applicant, signature shall be alongwith the Applicant’s seal. Signature should be preferably in black ink.
- 7 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 Capital Wealth Portfolio Managers Pvt. Ltd.”
- 2 It is mandatory to provide complete All Bank Accounts’ details. In absence of complete details, form may be rejected.

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. Important Points:

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

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

1. PAN card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D).
2. Unique Identification Number (UID) (Aadhaar)/Passport/Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

### C. Proof of Address (POA):

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

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

**D. Exemptions/clarifications to PAN**

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

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

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

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

## 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
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
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						

**NON-INDIVIDUAL CLIENT REGISTRATION FORM**

Application No.: \_\_\_\_\_

**Please fill in ENGLISH and in BLOCK LETTERS**

Are you a KYC-KRA Complied Client  Yes  No

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:

CENTRAL KYC REGISTRY   Know Your Customer (KYC) Application Form   Legal Entity/other than Individual	
For office use only	Application Type* <input type="checkbox"/> New <input type="checkbox"/> Update
(To be filled by financial institution)	KYC Number _____ (Mandatory for KYC update request)
Kindly prefer page no. 40 & 41 for CKYC instructions.	

**1. ENTITY DETAILS\* (Please refer instruction A at the end)**

1. Name of Applicant \_\_\_\_\_

2. Date of Incorporation/ Formation\*           2a. Place of Incorporation/ Formation\* \_\_\_\_\_

2b. Country of Incorporation/ Formation\* \_\_\_\_\_ 2c. TIN or Equivalent Issuing Country \_\_\_\_\_

3. Registration No. (e.g. CIN) \_\_\_\_\_ 3a. Date of commencement of business

3b. TIN / GST Registration Number \_\_\_\_\_

4. Status  Private Ltd. Co.  Public Ltd. Co.  Body Corporate  Partnership  
 Not Categorized  Liquidator  FPI Category I  FPI Category II  FPI Category III  
 Body of Individuals  Non-Government Organisation  Trust / Charities / NGOs  Government Body  
 Artificial Juridical Person  Defence Establishment  Limited Liability Partnership  
 Central/State Government Department or Agency  FI  FII  HUF  AOP  Bank  
 Section 8 Companies (Companies Act 2013)  LLP  Society  Artificial Liability Partnership  
 International Organization or Agency Foreign Embassy or Consular Office etc  Others Please specify \_\_\_\_\_

5. PAN (MANDATORY) \_\_\_\_\_ Please enclose a duly attested copy of your PAN Card.  Form 60 furnished

**2. PROOF OF IDENTITY (PoI)\* (Please refer instruction B at the end)**

Officially valid document(s) in respect of person authorised to transact

Certificate of Incorporation / Formation \_\_\_\_\_  Registration Certificate Regn. Certificate No. \_\_\_\_\_

Memorandum and Articles of Association  Partnership Deed  Trust Deed

Resolution of Board / Managing Committee  Power of attorney granted to its manager, officers or employees to transact on its behalf

Activity Proof - 1 (For Sole Proprietorship Only)  Activity Proof - 2 (For Sole Proprietorship Only)

**3. ADDRESS\* (Please refer instruction C at the end)**

3.1 Registered Office Address / Place of Business\*

Proof of Address\*  Certificate of Incorporation / Formation  Registered Certificate  Other Document \_\_\_\_\_

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

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

3.2 Local Address in India (If different from above)\*

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

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

**4. CONTACT DETAILS** (All communications will be sent to Mobile number / Email-ID provided" may be used) (Please refer instruction **D** at the end)

Tel. (Off) \_\_\_\_\_ FAX \_\_\_\_\_

Mobile \_\_\_\_\_ Email ID \_\_\_\_\_

Mobile \_\_\_\_\_ Email ID \_\_\_\_\_

**5. NUMBER OF RELATED PERSONS**  (Please refer instruction **E** at the end)

**6. REMARKS** (If any)

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**7. APPLICANT DECLARATION**

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



[Signature / Thumb Impression]

Signature/Thumb Impression of Applicant  
Authorised Signatory

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

Date

Place

**8. ATTESTATION / FOR OFFICE USE ONLY**

Documents Received  Certified Copies  Equivalent e-document

	KYC VERIFICATION CARRIED OUTBY		INSTITUTION DETAILS	
Identity Verification	<input type="checkbox"/> Done	Date	Name	InCred Capital Wealth Portfolio Managers Pvt Limited
Emp. Name			Code	IN5060
Emp. Code				
Emp. Designation				
Emp. Branch				
Employee Signature				[Institution Stamp]

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

Are you a KYC-KRA Complied Client  Yes  No  
**For office use only** Application Type\*  New  Update  Delete  
 (To be filled by financial institution) KYC Number \_\_\_\_\_ (Mandatory for KYC update request)

**1. DETAILS OF RELATED PERSON\* (Please refer instruction E at the end)**

Addition of Related Person  Deletion of Related Person  Update Related Person Details

KYC Number of Related Person (if available\*) \_\_\_\_\_ If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

**Related Person Type\***  Director  Promoter  Karta  Trustee  Partner  
 Court Appointment Official  Proprietor  Beneficiary  
 Authorised Signatory  Beneficiary Owner  
 Power of Attorney Holder  Other (Please specify) \_\_\_\_\_

DIN (Director Identification Number) \_\_\_\_\_ (Mandatory if Related Person Type is Director)  
 DPIN For (LLP Partner) \_\_\_\_\_ UID For Ohter \_\_\_\_\_  
 Designation \_\_\_\_\_

**1.1 PERSONAL DETAILS (Please refer instruction E at the end)**

Name\* (Same as ID proof) \_\_\_\_\_  
 Maiden Name (If any\*) \_\_\_\_\_  
 Father/ Spouse Name\* \_\_\_\_\_  
 Mother Name\* \_\_\_\_\_  
 Date of Birth\* 

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

  
 Gender\*  M- Male  F- Female  T-Transgender  
 Nationality\*  N-India  Others (ISO 3166 Country Code \_\_\_\_\_)  
 PAN\* \_\_\_\_\_  Form 60 furnished


**1.2 PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E at the end)**

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

A- Passport Number \_\_\_\_\_  
 B- Voter ID Card \_\_\_\_\_  
 C- Driving Licence \_\_\_\_\_  
 D- NREGA Job Card \_\_\_\_\_  
 E- National Population Register Letter \_\_\_\_\_  
 F- Proof of Possession of Aadhaar XXXXXXXX \_\_\_\_\_

II  E- KYC Authentication XXXXXXXX \_\_\_\_\_

III  Offline Verification of Aadhaar XXXXXXXX \_\_\_\_\_

  
 Signature/  
 Thumb Impression

**Address**

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

### 1.3 CURRENT ADDRESS DETAILS\* (Please refer instruction E at the end)

Same as above mentioned address (in such cases address details as below need not be provided)

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

- A- Passport Number \_\_\_\_\_
- B- Voter ID Card \_\_\_\_\_
- C- Driving Licence \_\_\_\_\_
- D- NREGA Job Card \_\_\_\_\_
- E- National Population Register Letter \_\_\_\_\_
- F- Proof of Possession of Aadhaar XXXXXXXX \_\_\_\_\_
- II  E- KYC Authentication XXXXXXXX \_\_\_\_\_
- III  Offline Verification of Aadhaar XXXXXXXX \_\_\_\_\_
- IV  E- KYC Authentication \_\_\_\_\_
- V  Offline Verification of Aadhaar \_\_\_\_\_

#### Address

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

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

### 1.4 CONTACT DETAILS (All communications will be sent on provided Mobile no / Email-ID) (Please refer instruction D at the end)

Tel. (Off) \_\_\_\_\_ Tel. (Res) \_\_\_\_\_ Mobile \_\_\_\_\_

Email ID \_\_\_\_\_

### 2 APPLICANT DECLARATION

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



[Signature / Thumb Impression]

Signature/Thumb Impression of Applicant Related Person

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

Date 

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

Place

### 3. 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	INSTITUTION DETAILS	
Date			
Emp. Name		<b>Name</b>	<b>InCred Capital Wealth Portfolio Managers Pvt Limited</b>
Emp. Code		<b>Code</b>	<b>IN5060</b>
Emp. Designation		[Institution Stamp]	
Emp. Branch			
Employee Signature			

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

Are you a KYC-KRA Complied Client  Yes  No

**For office use only**

Application Type\*  New  Update  Delete

(To be filled by financial institution) KYC Number \_\_\_\_\_ (Mandatory for KYC update request)

**1. DETAILS OF RELATED PERSON\* (Please refer instruction E at the end)**

Addition of Related Person     Deletion of Related Person     Update Related Person Details

KYC Number of Related Person (if available\*) \_\_\_\_\_ If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

**Related Person Type\***     Director     Promoter     Karta     Trustee     Partner  
 Court Appointment Official     Proprietor     Beneficiary  
 Authorised Signatory     Beneficiary Owner  
 Power of Attorney Holder     Other (Please specify) \_\_\_\_\_

DIN (Director Identification Number) \_\_\_\_\_ (Mandatory if Related Person Type is Director)

DPIN For (LLP Partner) \_\_\_\_\_ UID For Ohter \_\_\_\_\_

Designation \_\_\_\_\_

**1.1 PERSONAL DETAILS (Please refer instruction E at the end)**

Name\* (Same as ID proof) \_\_\_\_\_

Maiden Name (If any\*) \_\_\_\_\_

Father/ Spouse Name\* \_\_\_\_\_

Mother Name\* \_\_\_\_\_

Date of Birth\* 

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

Gender\*     M- Male     F- Female     T-Transgender

Nationality\*     N-India     Others (ISO 3166 Country Code \_\_\_\_\_)

PAN\* \_\_\_\_\_  Form 60 furnished

**1.2 PROOF OF IDENTITY AND ADDRESS\* (Please refer instruction E at the end)**

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

A- Passport Number \_\_\_\_\_

B- Voter ID Card \_\_\_\_\_

C- Driving Licence \_\_\_\_\_


D- NREGA Job Card \_\_\_\_\_

E- National Population Register Letter \_\_\_\_\_

F- Proof of Possession of Aadhaar XXXXXXXX \_\_\_\_\_

II  E- KYC Authentication XXXXXXXX \_\_\_\_\_

III  Offline Verification of Aadhaar XXXXXXXX \_\_\_\_\_



Signature/  
Thumb Impression

**Address**

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

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

### 1.3 CURRENT ADDRESS DETAILS\* (Please refer instruction E at the end)

Same as above mentioned address (in such cases address details as below need not be provided)

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

- A- Passport Number \_\_\_\_\_
- B- Voter ID Card \_\_\_\_\_
- C- Driving Licence \_\_\_\_\_
- D- NREGA Job Card \_\_\_\_\_
- E- National Population Register Letter \_\_\_\_\_
- F- Proof of Possession of Aadhaar XXXXXXXX \_\_\_\_\_
- II  E- KYC Authentication XXXXXXXX \_\_\_\_\_
- III  Offline Verification of Aadhaar XXXXXXXX \_\_\_\_\_
- IV  E- KYC Authentication \_\_\_\_\_
- V  Offline Verification of Aadhaar \_\_\_\_\_

#### Address

Line 1\* \_\_\_\_\_

Line 2 \_\_\_\_\_

Line 3 \_\_\_\_\_ City / Town / Village\* \_\_\_\_\_

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

### 1.4 CONTACT DETAILS (All communications will be sent on provided Mobile no / Email-ID) (Please refer instruction D at the end)

Tel. (Off) \_\_\_\_\_ Tel. (Res) \_\_\_\_\_ Mobile \_\_\_\_\_

Email ID \_\_\_\_\_

### 2 APPLICANT DECLARATION

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



[Signature / Thumb Impression]

Signature/Thumb Impression of Applicant Related Person

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

Date 

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

Place

### 3. 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	INSTITUTION DETAILS
Date		
Emp. Name		Name InCred Capital Wealth Portfolio Managers Pvt Limited
Emp. Code		Code IN5060
Emp. Designation		[Institution Stamp]
Emp. Branch		
Employee Signature		

**ADDITIONAL KYC FORM FOR OPENING A DEMAT & TRADING ACCOUNT For Non-Individual**

**Application /DP Internal Ref No.**

(To be filled by Depository Participant)

DP ID : 1 2 0 9 1 0 0 0

Date : DD MM YY YY

Client ID : \_\_\_\_\_

(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 following details:

**A. DETAILS OF ACCOUNT HOLDERS**

Name of the Holders	PAN	GST Identification Number
Name of the Applicant		
UCC Code _____ Exchange Name _____ ID _____		
UCC Code _____ Exchange Name _____ ID _____		
UCC Code _____ Exchange Name _____ ID _____		
UCC Code _____ Exchange Name _____ ID _____		
First /Sole Authorised Signatory		
Second Authorised Signatory		
Third Authorised Signatory		

**B. TYPE OF ACCOUNT**

**STATUS**

- Body Corporate       Bank    Trust    Mutual Fund    CM    FI  
 Qualified Foreign Investor    FI    HUF       Other (Please Specify) \_\_\_\_\_

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

Name	PAN	GST Identification Number

**D. INCOME DETAILS (PLEASE SPECIFY)**

Income Range per annum:

- Up to `1,00,000    `1,00,000 to `5,00,000    5,00,000 to `10,00,000    `10,00,000 to `20,00,000  
 `20,00,000 to `50,00,000    `50,00,000 to `1,00,00,000    More than `1,00,00,000

and

Net worth Amount ( ` ) \_\_\_\_\_ as on date \_\_\_\_\_ [Net worth should not be older than 1 year]

**E. IN CASE OF FIIS / OTHERS (AS MAYBE APPLICABLE)**

RBI Approval Reference Number		RBI Approval Date	
SEBI Registration Number (for FIIs)			

F. 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.

• In case of options (ii), (iii) and (iv) above, MICR code of the branch should be present / mentioned on the document.

G. 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.

H. PEP	
Please tick, if applicable, for any of your authorized signatories /Promoters/Partners/ Karta/Trustees/whole time directors:	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)

I. INVESTMENT / TRADING EXPERIENCE AND BUSINESS DETAILS	
<b>Investment Trading Experience</b>	<input type="checkbox"/> No Prior Experience <input type="checkbox"/> Equity _____ years <input type="checkbox"/> F&O / Derivative _____ years <input type="checkbox"/> Commodities _____ years <input type="checkbox"/> Other Investment field _____ years
<b>Source of Wealth</b>	<input type="checkbox"/> Business Income <input type="checkbox"/> Gift <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Rental Income <input type="checkbox"/> Others (Specify) _____
<b>Nature of Business</b>	<input type="checkbox"/> Agriculture <input type="checkbox"/> Gems & Jewellery <input type="checkbox"/> Money Lending <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Real Estate <input type="checkbox"/> Export-Import <input type="checkbox"/> Manufacturing <input type="checkbox"/> Service Industry <input type="checkbox"/> Trading Firm <input type="checkbox"/> Casino Owner <input type="checkbox"/> Arms Manufacturer <input type="checkbox"/> Others (Specify) _____

**J. 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]
<b>Signatures</b>  				

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

**K. 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: \_\_\_\_\_  
(Please write 'None' if no action is taken)

**L. DEALINGS THROUGH AUTHORISED PERSONS AND OTHER STOCK BROKERS**

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

Authorised Person Name: \_\_\_\_\_ 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:

**M. 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)   
(please specify) \_\_\_\_\_
- Specify your Email id, if applicable: \_\_\_\_\_
- Whether you wish to avail of the facility of internet trading/wireless technology (please specify):  
\_\_\_\_\_
- Number of years of Investment/Trading Experience: \_\_\_\_\_
- 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)	<p>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.  <input type="checkbox"/> Yes  <input type="checkbox"/> No</p> <p>I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST</p> <table border="1" data-bbox="453 1178 1500 1357"> <thead> <tr> <th data-bbox="453 1178 724 1249">Stock Exchange Name/ID</th> <th data-bbox="730 1178 1002 1249">Clearing Member Name</th> <th data-bbox="1008 1178 1500 1249">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td data-bbox="453 1258 724 1303"></td> <td data-bbox="730 1258 1002 1303"></td> <td data-bbox="1008 1258 1500 1303"></td> </tr> <tr> <td data-bbox="453 1312 724 1357"></td> <td data-bbox="730 1312 1002 1357"></td> <td data-bbox="1008 1312 1500 1357"></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 CDSL website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No									

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] <input type="checkbox"/> Yes <input type="checkbox"/> 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')	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly
I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID _____	<input type="checkbox"/> Yes <input type="checkbox"/> No
I\We would like to share the Email ID with the RTA.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I / We would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> 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 ]	<input type="checkbox"/> Yes <input type="checkbox"/> No

**N. INTRODUCTION DETAILS (Optional)**

Name of the Introducer: \_\_\_\_\_  
(Surname) (Name) (Middle Name)

Status of the Introducer: Sub-Broker/ Remisier/ Authorized Person/ Existing Client/ Others, please specify:

\_\_\_\_\_

Address and Phone No. of the Introducer: \_\_\_\_\_

Signature of the Introducer:



Details of Promoters/ Partners/ Trustees and whole time directors forming a part of Know Your Client (KYC) Application Form for Non-Individuals								
Name of Applicant								
Sr. No	PAN	NAME	UID	Residential Address	Contact Details	Email ID	Designation	Photograph & Sign across

First /Sole Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
----------------------------------	-----------------------------	----------------------------

List of Family Members (Marcharate Annexure to be used incase number of members is higher).

Sr. No.	PAN	Name of Coparceners/Member	Gender	Relationship with Karta	Date of Birth	Whether Coparcener / Member (please specify)

Signatory of the Karta

## 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](mailto:complaints@cdslindia.com). The BO is advised not to inform the service provider about any such unauthorized debit to/ transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.
7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed 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																		
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 (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)

Date 

D	D	M	M	Y	Y	Y	Y
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 Place

**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

or

**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.

	First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Signature(s)			

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**KYC INFORMATION & FATCA-CRS DECLARATION - NON INDIVIDUAL**

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

PAN\* \_\_\_\_\_ Name \_\_\_\_\_

City of incorporation \_\_\_\_\_ Country of incorporation \_\_\_\_\_

Net Worth in INR. In Lakhs \_\_\_\_\_

Net Worth as on 

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

Is the entity involved in/ providing any of these services:	Foreign Exchange/ Money Changer Services	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Gaming/ Gambling/ Lottery Services [e.g casino betting syndicates]	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Money Laundering/ [Pawning]	YES <input type="checkbox"/>	NO <input type="checkbox"/>
---	--	------------------------------	-----------------------------	--	------------------------------	-----------------------------	-----------------------------	------------------------------	-----------------------------

Any other information [if applicable] \_\_\_\_\_

Entity Constitution Type (Please tick as appropriate)	a) Partnership Firm <input type="checkbox"/>	b) Private Limited Company <input type="checkbox"/>	c) Public Limited Company <input type="checkbox"/>
	d) Society <input type="checkbox"/>	e) AOP/BOI <input type="checkbox"/>	f) Trust / Liquidator <input type="checkbox"/>
	g) Limited Liability Partnership <input type="checkbox"/>	h) Artificial Juridical Person <input type="checkbox"/>	i) Others specify _____

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India YES  NO

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

Country	Tax Identification Number	Identification Type (TIN or Other, please specify)

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

In case the Entity's Country of Incorporation / Tax residence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemptioncode here \_\_\_\_\_

**FATCA-CRS DECLARATION**

(Please consult your professional tax advisor for further guidance on FATCA classification)

PART A (to be filled by Financial Institutions or Direct Reporting NFFEs)

<p>1. We are a, Financial institution<sup>6</sup> <input type="checkbox"/> or Direct reporting NFFE<sup>7</sup> <input type="checkbox"/> (please tick as appropriate)</p>	<p>GIIN _____</p> <p>Note: If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below</p> <p>Name of sponsoring entity _____</p>
<p>GIIN not available (please tick as applicable)</p> <p><input type="checkbox"/> Not required to apply for - please specify 2 digits sub-category<sup>10</sup> <input type="checkbox"/><input type="checkbox"/></p> <p><input type="checkbox"/> Not obtained - Non-participating FI</p>	

**PART B (please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)**

1.	Is the Entity a publicly traded company <sup>1</sup> that is, a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify any one stock exchange on which the stock is regularly traded) Name of stock exchange _____
2.	Is the Entity a related entity of a publicly traded company (a company whose shares are regularly traded on an established securities market)	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded) Name of listed company _____ Nature of relation: <input type="checkbox"/> Subsidiary of the Listed Company or <input type="checkbox"/> Controlled by a Listed Company Name of stock exchange _____
3.	Is the Entity an active <sup>3</sup> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____ Please specify the sub-category of Active NFE (Mention code – refer 2c of Part D)
4.	Is the Entity a passive <sup>4</sup> NFE	Yes <input type="checkbox"/> No <input type="checkbox"/> (If yes, please fill UBO declaration in the next section) Nature of Business _____

<sup>1</sup>Refer 2a of Part D | <sup>2</sup>Refer 2b of Part D | <sup>3</sup>Refer 2c of Part D | <sup>6</sup>Refer 1 of Part D | <sup>7</sup>Refer 3(vii) of Part D | <sup>10</sup>Refer 1A of Part D

**UBO Declaration**

**Category** (Please tick applicable category):  Unlisted Company  Partnership Firm  Limited Liability Partnership Company  Unincorporated association/ body of individuals  Public Charitable Trust  Religious Trust  Private Trust  Listed Company (Need not provide UBO details sought under)  Others (please specify \_\_\_\_\_)

Please list below the details of controlling person(s), confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers for EACH controlling person(s).

Owner-documented FFI's<sup>5</sup> should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E

Name – Beneficial owner/ Controlling person #Country – Tax Residency* #Tax ID No.- or functional equivalent for each country%	#Tax ID Type – TIN or Other, please specify Beneficial Interest – in percentage #Type Code <sup>11</sup> - of Controlling person	Address – Include State, Country, PIN/ ZIP Code & Contact Details
1. Name _____	Tax ID Type _____	Address _____
_____	Country _____	Beneficial Interest _____
_____	Tax ID No. _____	Type Code _____ ZIP _____
_____	State _____	Country _____
2. Name _____	Tax ID Type _____	Address _____
_____	Country _____	Beneficial Interest _____
_____	Tax ID No. _____	Type Code _____ ZIP _____
_____	State _____	Country _____
2. Name _____	Tax ID Type _____	Address _____
_____	Country _____	Beneficial Interest _____
_____	Tax ID No. _____	Type Code _____ ZIP _____
_____	State _____	Country _____

If passive NFE, please provide below additional details. (Please attach additional sheets if necessary)

PAN City of Birth Country of Birth	Occupation Type – Service, Business, Others Nationality, Father’s Name – Mandatory if PAN is not available	DOB – Date of Birth Gender – Male, Female, Other
1. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father’s Name _____	DOB <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
2. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father’s Name _____	DOB <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
3. PAN _____ City of Birth _____ Country of Birth _____	Occupation Type _____ Nationality _____ Father’s Name _____	DOB <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Gender: <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others

\*Additional details to be filled by controlling persons with tax residency/ permanent residency/ citizenship/ Green Card in any country other than India:

\*To include US, where controlling person is a US citizen or green card holder % In case Tax Identification Number is not available, kindly provide functional equivalent

<sup>4</sup>Refer 3(iii) of Part D | <sup>5</sup>Refer 3(vi) of Part D | <sup>11</sup>Refer 3(iv) (A) of Part D

## FATCA TERMS AND CONDITIONS

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s). If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010. Please note that you may receive more than one request for information if you have multiple relationships with ABC. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

### Certification

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

Name \_\_\_\_\_

Designation \_\_\_\_\_

Date

### AUTHORISED SIGNATORY



Place

## TARIFF SHEET (FOR ALL EXCHANGE &amp; SEGMENT)

## Brokerage

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

**The following charges will be charged and collected from the Client on the Contract Note:-**

- SEBI Turnover fees Exchange Transaction charges as applicable.
- Statutory levies including but not limited to Securities Transaction Tax (STT), Commodity Transaction Tax (CTT), GST, Stamp duty, Education Cess, as applicable shall be levied as per the prevailing rates.
- The following charges will be charged and collected from the Client in the Client Ledger or on the bill
  - Interest on delayed payment
  - Research report charges
  - Trading account opening documentation charges of 1000/-
  - Demat charges for pay-in/pay-out of shares from Pool/Margin Account (on actual basis)
  - Clearing charges (for Cash, F&O and Currency Derivatives segment of all Exchanges, if applicable)- Upto Rs. 50/- per crore on futures contract and upto Rs. 1000/- per crore on options contract (on premium)
  - Short delivery/Auction charges (other than internal close out charges) upto 0.5% on the value of scrip
  - Document handling charges-Upto Rs. 15/- per Contract note
  - 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 (minimum Rs. 20/-)
	Off-Market (within InCred DP)	Sale transactions - only CDSL charges on actual
	Off-Market/Inter-Depository	Sale transactions - @0.03% of value (minimum Rs. 20/-)

FIRST/SOLE  
AUTHORISED SIGNATORYSECOND  
AUTHORISED SIGNATORYTHIRD  
AUTHORISED SIGNATORY

Pledge	Pledge Creation	Rs. 25/- per ISIN within InCred Capital
	Pledge Closure	Rs. 25/- 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.
- Notary Charges on automated POA Rs. 100/- will be charged in the bill.
- Any service not quoted above will be charged Marcharately.
- 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.

DPID	1	2	0	9	1	0	0	0	CLIENT ID								
------	---	---	---	---	---	---	---	---	-----------	--	--	--	--	--	--	--	--

FIRST/SOLE  
AUTHORISED SIGNATORY



SECOND  
AUTHORISED SIGNATORY



THIRD  
AUTHORISED SIGNATORY



## 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 Client 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 Authorized 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](http://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

Member may undertake Proprietary Trading in addition to Client-based trading.

**14. TERMINATION OF VOLUNTARY TERMS**

The Client may terminate this confirmation/document at any time by giving a prior notice of 30 days to Member. Provided however that all the obligations of the Client prior to the Termination of Voluntary Terms shall continue to subsist.

**15. ADDITIONAL TO MANDATORY RIGHTS AND OBLIGATIONS**

These terms and conditions are in addition to, and does not supersede, the Right and Obligations.

**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.

TRADING MEMBERS DISCLOSURE: Incred Capital Wealth Portfolio Manager Private Ltd. hereby notifies to the client that it is engaged in proprietary business in addition to the agency business on behalf of its client.

**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  
AUTHORISED SIGNATORY

SECOND  
AUTHORISED SIGNATORY

THIRD  
AUTHORISED SIGNATORY

Date

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/discard 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 Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
Signature(s)			

Date

Place

## VOLUNTARY DOCUMENT

## DEMAT DEBIT AND PLEDGE INSTRUCTION VOLUNTARY REQUEST FORM

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

DP ID : 12091000 Client ID : \_\_\_\_\_ Client Code : \_\_\_\_\_

Dear Sir/Madam,

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	First Authorised Signatory	Second Authorised Signatory	Third Authorised Signatory
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.	FAS	SAS	TAS
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.	FAS	SAS	TAS
3.	Mutual Fund transactions being executed on Stock Exchange order entry platforms	FAS	SAS	TAS
4.	Tendering shares in open offers through Stock Exchange platforms.	FAS	SAS	TAS

# \_\_\_\_\_

(# signature of Co Parceners in case of HUF)

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

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

FIRST/SOLE  
AUTHORISED SIGNATORYSECOND  
AUTHORISED SIGNATORYTHIRD  
AUTHORISED SIGNATORY

## Terms and Conditions for Margin Trade Funding facility

Client Trading ID: \_\_\_\_\_

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

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

Rate of Interest (% Per Annum) \_\_\_\_\_

I / We hereby confirm that I/We have margin trading facility with another broker

Yes  No

### The Client undertakes, authorizes, confirms and agrees to/that:

- 1) Margin Trading Facility (MTF) is a facility approved by exchanges that facilitates clients to buy stocks by paying only part of the total value. The broker funds the remaining amount and charges interest on this loan.
- 2) The Client wishes to avail MTF in accordance with the terms and conditions of MTF offered by InCred Capital Wealth Portfolio Managers Pvt. Ltd. ("InCred").
- 3) The Client gives consent to the Terms and Conditions and circulars /guidelines of the Exchange /SEBI. By agreeing to avail Margin Trading Facility with the broker, client confirms currently not using this facility with any other broker and the client shall inform if opting MTF facility from other brokers in future in advance. The Client gives consent to the Terms and Conditions and circulars /guidelines of the Exchange /SEBI.
- 4) InCred, at all times, shall have the liberty to exercise its right in its sole discretion to determine the extent to which the MTF facility can be offered to the Client.
- 5) For availing MTF, Interest on the outstanding balance will be levied on monthly basis as agreed from time to time.
- 6) Transaction/s to be considered for exposure to MTF shall be informed to InCred in writing or in any other irrefutable mode of communication at the time of the trade, else the same shall be considered under normal trading facility. In the absence of any such express communication, the transaction shall be considered under the normal trading facility. InCred in its discretion may identify the eligible/excess securities available with the Client and mark the same as collateral towards the MTF Facility. All credit arising to the Client's account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any, and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.
- 7) Once a transaction is entered under the MTF Facility, there will not be any further confirmation that it is a margin trading transaction other than the contract note issued on conclusion of the transaction.
- 8) InCred shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of InCred) and InCred shall not be required to provide any reasons thereof nor shall InCred be liable for any damages (whether direct or consequential) to the Client by reason of InCred's refusal to grant MTF to the Client.
- 9) The terms / conditions / Obligations of MTF as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
- 10) MTF shall be provided only in respect of Shares permitted by the SEBI / Exchanges / InCred from time to time.
- 11) The dues of the Client, wherever mentioned in the T&C, include but are not limited to the outstanding balances, interest, statutory dues, taxes, duties, charges, penalties etc. in respect of the MTF Facility availed by the Client.
- 12) InCred shall retain and/or pledge the securities of the Client, which are utilised for availing the MTF Facility, and /or retain its corporate benefits, if any, till the amounts due in respect of the transactions including the dues to InCred are paid in full by the Client.
- 13) InCred shall hold and / or appropriate the credit lying in the Client's account and/or any unutilized/ unpledged shares/ securities lying in the Client's demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under the MTF Facility.
- 14) All funds received by InCred shall be credited firstly to the Client's Futures and Options margin account, secondly to the MTF Facility and thereafter to other accounts, if any. The movement of funds, for the purpose of maintenance of margin for various accounts, shall take place on the basis of requirement and availability of funds.
- 15) Based on Client's preference, the Client accepts all types of communications to Client's email/message to registered mobile number of the Client/logging in on InCred website or by physical mode relating to and including order / trade confirmation, revision in margin/ margin calls, decision to liquidate the position / security / collateral, margin statements, margin policies on haircuts / VAR margin, risk management policies, rights & obligations, etc.
- 16) MTF shall be provided to the extent of the maximum funding limits permitted by the SEBI/ Exchanges / InCred from time to time.
- 17) MTF shall be available only on the Exchanges decided by InCred.
- 18) InCred will only treat those securities available in demat account/s linked to the trading account of the client, which are pledged in favor of InCred as margin and repledge benefit has been received from the Exchange.

- 1) Margin Trading Facility (MTF) is a facility approved by exchanges that facilitates clients to buy stocks by paying only part of the total value. The broker funds the remaining amount and charges interest on this loan.
- 2) The Client wishes to avail MTF in accordance with the terms and conditions of MTF offered by InCred Capital Wealth Portfolio Managers Pvt. Ltd. ("InCred").
- 3) The Client gives consent to the Terms and Conditions and circulars /guidelines of the Exchange /SEBI. By agreeing to avail Margin Trading Facility with the broker, client confirms currently not using this facility with any other broker and the client shall inform if opting MTF facility from other brokers in future in advance. The Client gives consent to the Terms and Conditions and circulars /guidelines of the Exchange /SEBI.
- 4) InCred, at all times, shall have the liberty to exercise its right in its sole discretion to determine the extent to which the MTF facility can be offered to the Client.
- 5) For availing MTF, Interest on the outstanding balance will be levied on monthly basis as agreed from time to time.
- 6) Transaction/s to be considered for exposure to MTF shall be informed to InCred in writing or in any other irrefutable mode of communication at the time of the trade, else the same shall be considered under normal trading facility. In the absence of any such express communication, the transaction shall be considered under the normal trading facility. InCred in its discretion may identify the eligible/excess securities available with the Client and mark the same as collateral towards the MTF Facility. All credit arising to the Client's account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any, and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.
- 7) Once a transaction is entered under the MTF Facility, there will not be any further confirmation that it is a margin trading transaction other than the contract note issued on conclusion of the transaction.
- 8) InCred shall not be bound to grant MTF to the Client (which decision shall be at the sole and exclusive discretion of InCred) and InCred shall not be required to provide any reasons thereof nor shall InCred be liable for any damages (whether direct or consequential) to the Client by reason of InCred's refusal to grant MTF to the Client.
- 9) The terms / conditions / Obligations of MTF as amended from time to time shall be irrevocable and shall not be revoked by the death/dissolution/ winding up of the Client.
- 10) MTF shall be provided only in respect of Shares permitted by the SEBI / Exchanges / InCred from time to time.
- 11) The dues of the Client, wherever mentioned in the T&C, include but are not limited to the outstanding balances, interest, statutory dues, taxes, duties, charges, penalties etc. in respect of the MTF Facility availed by the Client.
- 12) InCred shall retain and/or pledge the securities of the Client, which are utilised for availing the MTF Facility, and /or retain its corporate benefits, if any, till the amounts due in respect of the transactions including the dues to InCred are paid in full by the Client.
- 13) InCred shall hold and / or appropriate the credit lying in the Client's account and/or any unutilized/ unpledged shares/ securities lying in the Client's demat account along with all other demat accounts / Mutual Funds / IPO account of the Client towards the repayment of the outstanding dues thereof under the MTF Facility.
- 14) All funds received by InCred shall be credited firstly to the Client's Futures and Options margin account, secondly to the MTF Facility and thereafter to other accounts, if any. The movement of funds, for the purpose of maintenance of margin for various accounts, shall take place on the basis of requirement and availability of funds.
- 15) Based on Client's preference, the Client accepts all types of communications to Client's email/message to registered mobile number of the Client/logging in on InCred website or by physical mode relating to and including order / trade confirmation, revision in margin/ margin calls, decision to liquidate the position / security / collateral, margin statements, margin policies on haircuts / VAR margin, risk management policies, rights & obligations, etc.
- 16) MTF shall be provided to the extent of the maximum funding limits permitted by the SEBI/ Exchanges / InCred from time to time.
- 17) MTF shall be available only on the Exchanges decided by InCred.
- 18) InCred will only treat those securities available in demat account/s linked to the trading account of the client, which are pledged in favor of InCred as margin and repledge benefit has been received from the Exchange.
- 19) Client will ensure that the required margin is maintained for MTF at all points of time as specified by SEBI / Exchanges / InCred from time to time.
- 20) As per the regulatory requirement for, Client shall pledge securities in favour of InCred Capital Wealth Portfolio Managers Pvt. Ltd. Client Securities under Margin Funding Account, through depository system. Client agrees to create pledge on securities immediately upon initiation of Margin Trade or latest by end of trade day, to continue with the MTF position. In case of failure/delay in creating pledge in favor of InCred as per this timeline or any other timelines as required by InCred, then InCred reserves the right to liquidate the securities purchased under MTF without prior notice to the Client, irrespective of whether such stock bought under MTF is in InCred's pool account or in client's demat account where POA / DDPI is executed in favor of InCred.
- 21) InCred at its sole and absolute discretion may increase / revise the limit of initial margin and maintenance margin, minimum transaction amount from time to time, subject to SEBI /Exchange / InCred requirements in this respect. The client shall abide by such revision, and where there is an upward revision of such margin amount, the client agrees to make up the revised margin immediately, failing which InCred may exercise its discretion / right to liquidate the security / collateral and / or close out the position within 2 trading days from the day of margin call.
- 22) Client will make good the margin / margin call by placing further margin immediately, failing which InCred may exercise its discretion / right to liquidate the security / collateral and / or close out the position immediately

## Client and InCred agree to and confirm that:

### Maintenance of Margin:

- i. The Client can, at any time, replace the securities provided towards collateral for the MTF Facility, as long as the said securities are approved for margin trading.
- ii. The Client's positions with regard to the MTF Facility will be monitored and reviewed on a continuous basis.
- iii. To the extent the Client is eligible and subject to the required margin being available, additional exposure over the debit balance may be granted InCred, InCred shall in its sole discretion will identify the eligible/excess securities available with the Client and mark the same as collateral towards the MTF Facility. All credit arising to the Client's account out of a sale transaction under the MTF Facility shall be first adjusted towards the debit under the MTF Facility, if any and subject to adequate margin being maintained for the outstanding debit under the MTF Facility.
- iv. InCred shall clearly indicate the additional / deficient margin to be made good by the Client when it makes a 'margin call' to the Client.
- v. If InCred liquidates the Client's securities, the contract note issued for such margin call related transaction shall carry an asterisk or identifier that the transaction has arisen as a result of a margin call.
- vi. The daily margin statements sent by InCred to the Client shall identify the margin/collateral for MTF Facility separately.

### Closing/Termination of Account:

- i. Upon receipt of a request from the Client to close/terminate the account of the Client, InCred shall forthwith close/terminate the same subject to payment by the Client of all its dues under the MTF Facility.
- ii. If for any reason whatsoever InCred surrenders the MTF Facility or ceases to be a member of the stock exchange or the stock exchange withdraws the MTF Facility provided to InCred then the margin trading arrangement between InCred and the Client shall be terminated.
- iii. Subject to clearing all dues payable to InCred, the Client may opt to terminate the MTF Facility, in the event of InCred committing any breach of any terms or conditions herein or for any other reason.
- iv. Upon the Client opting to terminate the MTF Facility and on payment of all the dues payable by the Client to InCred, InCred shall return to the Client all the collaterals provided and funded securities retained forthwith, but not later than 5 working days from the date of such payment.

### Miscellaneous:

- i. The Client shall, after paying all dues, be free to take the delivery of the securities at any time by repaying the amounts paid by InCred to the exchanges.
- ii. InCred shall issue appropriate records to communicate to the Client the change in status of a transaction from normal to MTF Facility, if the Client determines to convert a normal trade into MTF after the issuance of a contract note and shall include information like the original contract number and the margin statement and the changed data.
- iii. If there is no transaction for 90 days in a Margin Trading Account and if there are any outstanding dues from client, then the account shall be settled immediately.
- iv. The stocks deposited as collateral with InCred (Collaterals) for availing the MTF Facility and the stocks purchased under the MTF Facility (Funded stocks) shall be separately identifiable and there shall not be any co-mingling for the purpose of computing funding amount.
- v. The funds of one Client shall not be used to provide MTF Facility to another Client even if so authorised by the first Client.
- vi. Investor Protection Fund (IPF) will not be available for transactions done on the exchanges, through the MTF Facility, in case of any losses suffered in connection with the MTF Facility availed by a client.
- vii. These Terms and Conditions are supplemental to and do not supersede the terms and conditions contained in the mandatory documents executed by the Client such as KYC forms, Rights & Obligations etc., as also the Rules, Regulations, Bye-laws, circulars of the exchanges, directives and guidelines of regulatory authorities.

## Rights & Obligations of Stock Brokers & Clients for availing Margin Trading Facility - NSE

### Client Rights

- 1) Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position/security.
- 2) Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
- 3) Client has a right to change the securities collateral offered for Margin Trading Facility (MTF) at any time so long as the securities so offered are approved for Margin Trading Facility.
- 4) Client may close/terminate the Margin Trading Account at any time after payment of all the dues.

### Client Obligations

- 1) Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
- 2) Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the timelines specified by the broker failing which the transaction will be treated under the normal trading facility.
- 3) Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
- 4) On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
- 5) By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
- 6) Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

### Stock Broker Rights

- 1) Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
- 2) Stock Broker may set up their own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
- 3) The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
- 4) The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

### Stock Broker Obligations

- 1) Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
- 2) The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section and given as a part of account opening agreement.
- 3) The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method.
- 4) Stock broker shall prescribe and communicate its margin policies on haircuts/VAR margins subject to minimum requirements specified by SEBI and Exchanges from time to time.
- 5) Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day (T stands for Trading Day).

- 6) If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
- 7) In case the determination happens after the issuance of contract note, the broker shall issue appropriate records to communicate to client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
- 8) The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
- 9) Time period for liquidation of position/security shall be in accordance with the declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
- 10) The daily margin statements sent by Broker to the client shall identify the margin/collateral for Margin Trading separately.
- 11) The stocks deposited as collateral with the stock broker for availing MTF (Collaterals) and the stocks purchased under the MTF (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount.
- 12) Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

### Termination of relationship

- 1) The margin trading arrangement between the Stock Broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the MTF provided to the Stock Broker, or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock Exchange.
- 2) The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at any time after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the MTF in the event of Broker committing any breach of any terms or conditions therein or for any other reason.
- 3) In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
- 4) After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
- 5) If the client opts to terminate the MTF, Broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

### Rights & Obligations of Stock Brokers & Clients for availing Margin Trading Facility - BSE

- 1) Stock Broker/ Trading Member is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.
- 2) Stock Broker/ Trading Member desirous of extending MTF to their clients is required to obtain prior permission of BSE. Stock Broker/ Trading Member may note that BSE has the right to withdraw the permission at anytime.
- 3) Stock Broker/ Trading Member shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange / SEBI from time to time.
- 4) Stock Broker/ Trading Member and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/ SEBI/ Stock Broker/ Trading Member.
- 5) Stock Broker/ Trading Member shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.
- 6) Stock Broker/ Trading Member may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Stock Broker/ Trading Member may permit. It may, however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/ SEBI.
- 7) Stock Broker/ Trading Member shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.

- 8) Stock Broker/ Trading Member shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/ SEBI/ Stock Broker/ Trading Member. In this regard, Stock Broker/ Trading Member shall also list down situations/ conditions in the which the securities may be liquidated (Stock Broker/ Trading Member to list down situations/ conditions):
- 9) Stock Broker/ Trading Member shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
- 10) The stocks deposited as collateral with the Stock Broker/ Trading Member for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount
- 11) IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.
- 12) The rights and obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011

Signature of Client

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

**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  
 AUTHORISED SIGNATORY

SECOND  
 AUTHORISED SIGNATORY

THIRD  
 AUTHORISED SIGNATORY

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.: \_\_\_\_\_

Entity Name	
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**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.

***InCred!* Equities**