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TMCM: Kotak Securities Limited • SEBI Registration No: INZ000200137(Member of NSE, BSE, MSE, MCX and NCDEX) Research Analyst INH000000586, NSDL/CDSL:IN-DP-NSDL-23-97, AMFI ARN:0164, PMS INP000000258, CIN: U99999MH1994PLC134051, Compliance Officer Name: Manoj Agarwal; Phone No. +91 (022) 42858484; E-mail ID: ks.compliance@kotak.com CEO Name: Jaideep Hansraj; Phone No. +91 (022) 42858301 & E-mail ID: ceo.ks@kotak.com For any grievance/dispute please contact Kotak Securities Ltd. at E-mail ID- service.securities@kotak.com or Toll Free No. 1800 209 9191 / 1860 266 9191

Exchange	NSE	BSE	MSE	In case not satisfied with the response, please contact the concerned exchange(s) / Depository at:
Email ID	ignse@nse.co.in	is@bseindia.com	investorcomplaints@mse.com	
Phone No	18002660058	(022) 2272 8097	(022) – 61129000 Ext. 9028	
Depository	NSDL		CDSL	
Email ID	relations@nsdl.co.in		complaints@cdslindia.com	
Phone No	(022) 2499 4200		(022) 2272 3333	

You can also lodge your grievances with SEBI at <http://scores.gov.in>. For any queries, feedback or assistance, please contact SEBI Office on Toll Free Helpline at 1800 22 7575 / 1800 266 7575.

INSTRUCTION LIST FOR FILLING KYC FORM - Important Points :

- Self attested copy of PAN card and all other documents are mandatory for all clients and persons authorized to deal in securities on behalf of company/firm/others.
- Copies of all documents submitted by the client should be verified with original by Kotak Securities employee/Registered Authorised Person. 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.
List of people authorized to attest the documents:
Notary Public, Gazetted Officer, Manager of a Scheduled Commercial/Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
- If correspondence & permanent address are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
- Under Interoperability, Kotak Securities has selected NSE Clearing Limited (NCL) as its designated clearing corporation for Cash and equity derivatives segment transactions and Indian Clearing Corporation Limited (ICCL) as its designated clearing corporation for currency derivatives segment transactions.
- "This document is voluntary. Voluntary means that the document is not prescribed by Regulators, however the same is required by KSL for offering the seamless trading platform and various other facilities in connection to all your accounts and dealings with KSL. If you do not wish to avail the services of KSL, you need not execute such documents"
- "Reference to checklist for account opening" : DP : NSDL Circular No. NSDL/PI/2004/1622 dated September 7, 2004 pursuant to SEBI Circular No. MRD/DoP/Dep/Cir-29/2004 dated August 24, 2004 (Link – https://www.sebi.gov.in/legal/circulars/aug-2004/proof-of-identity-and-proof-of-address-for-opening-a-beneficiary-owner-account-for-non-body-corporates_9688.html)
Trading : SEBI Circular No - CIR/MIRSD/16/2011 dated August 22, 2011.(Link : https://www.sebi.gov.in/legal/circulars/aug-2011/simplification-and-rationalization-of-trading-account-opening-process_20483.html)

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

- A) Fields marked with '*' are mandatory fields.
- B) Tick '✓' wherever applicable.
- C) Please fill the form in English and in BLOCK letters.
- D) Please fill the date in DD-MM.YYYY format.
- E) For particular section update tick(✓) in the box section number and strike off the sections not required to be updated.
- F) Please read section wise detailed guidelines/ instruction at the end.
- G) KYC number of applicant is mandatory for update application.
- H) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.
- I) In case you submit deemed Officially Valid Document (OVD) for proof of address as your Officially Valid Document (OVD) does not contain updated address then you are required to submit OVD or their equivalent E-document within a period of three months, failing which we may suspend your account.

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 does 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':

Description

- Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
 - Property or Municipal tax receipt.
 - Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
 - 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 and leave and licence 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 of 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 fillign '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 of age, the same (or CKYCR number of guardian) is to be uploaded.

Please follow the below Legends**KRA** ✕**AADHAR** ✕

✕ Information not required to be filled by the clients who are KRA complied / or have provided consent for authenticating with Aadhar.

KRA ✓**AADHAR** ✓**NON KRA & NON AADHAR**

✓ Information required to be filled by all clients including KRA complied, Client opting for Aadhar based A/c Opening & Non KRA & Non Aadhar clients

ICONS FOR ILLUSTRATION**Client Signature**
(Full Signature)**Client's Witness Signature**

Signature



Initials



Note



Tick



Capital Letters



Section I* - KRA/Aadhar Based Account Opening - First Holder

Fields marked with ** are mandatory fields. Please fill the form in English and in BLOCK Letters.
Please read section wise detailed guidelines / instructions mentioned at the beginning.

I a* - KRA/ Aadhar Based Account Opening

KRA ✓

AADHAR ✓

NON KRA & NON AADHAR ✓

1) Are you a KYC-KRA complied client ☐ Yes ☐ No

K

2) Do you wish to provide consent for authenticating with Aadhar based system for account opening: ☐ Yes ☐ No (Currently not applicable)

A

If Yes, I understand that I have alternatives against Aadhaar. I further understand that upon Aadhar authentication/sharing the share code my photo/ kyc/demographic details shall be extracted/converted in readable format for the purpose of opening the accounts with Kotak securities Ltd and be forwarded to all Regulators including KRA's and CKYCR.

"यदि इसका जवाब हाँ है - मैं समझता हूँ कि मेरे पास आधार के अतिरिक्त अन्य विकल्प भी हैं। मैं ये भी समझता हूँ कि आधार जांच और शेयर कोड साझा करने पर मेरी फोटो/KYC/डेमोग्राफिक डीटेल को उपयोग किया जा सकता है और पठनीय फॉर्मेट में बदलकर उसका उपयोग कोटक सिक्योरिटीज के साथ अकाउंट खोलने के लिए किया जाएगा और उसे सभी रेगुलेटर्स (KRA,CKCYR) को भेजा सकता है।"

3) Please provide PAN details

If answer to questions No. 1 is "NO" please skip section I b, I c & complete the section highlighted (✓) as 'Non KRA & Non Aadhar'

If answer to questions No. 1 is "YES", then complete the details upto section I c on the same page & proceed to applicable section on next page

I b - Declaration

KRA ✓

AADHAR ✓

NON KRA & NON AADHAR ✗

This section is "Not Applicable" for customers who are Non-KRA complied or have not provided consent for authenticating with UIDAI system.

(Please tick whichever is applicable)

☐ I hereby confirm that my details appearing on KRA/UIDAI have been shared. I further confirm that there are no changes in the same including my Address /Email id/Mobile Number. OR

☐ I hereby confirm that my details appearing on KRA/UIDAI have been shared. I hereby 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:

I c - Contact Details

KRA ✓

AADHAR ✓

NON KRA & NON AADHAR ✗

This section is "Not Applicable" for customers who are Non-KRA complied or have not provided consent for authenticating with UIDAI system.

Particulars	Existing details as per KRA System	Updated details (In case of changes in existing details, else please mention NA)
Email Id		
Mobile No.:		
New Residence /Permanent Address	<input type="checkbox"/> Same as KRA <input type="checkbox"/> Same as UIDAI <input type="checkbox"/> Updated Address mentioned below	

PROOF OF ADDRESS

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

<input type="checkbox"/> A-Passport No.	<input type="text"/>	Expiry Date	<input type="text"/>	<input type="checkbox"/> B-VoterID Card	<input type="text"/>
<input type="checkbox"/> C-Driving Licence	<input type="text"/>	Expiry Date	<input type="text"/>		
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>				
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>				
<input type="checkbox"/> F-Proof of Possession of Aadhaar/ VID (Virtual ID)	<input type="text"/>				
<input type="checkbox"/> E-KYC Authentication	<input type="text"/>				
<input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>				

Address: Line1*

Line 2

Line 3

City /Town /Village*

District*

Pin Code*

State/U.T*

Country*

New Correspondence Address

☐ Same as UIDAI ☐ Same as Residence/permanent ☐ Updated Address ☐ Same as KRA address mentioned above

NEW CORRESPONDENCE / CURRENT ADDRESS

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

<input type="checkbox"/> A-Passport No.	<input type="text"/>	Expiry Date	<input type="text"/>	<input type="checkbox"/> B-VoterID Card	<input type="text"/>
<input type="checkbox"/> C-Driving Licence	<input type="text"/>	Expiry Date	<input type="text"/>		
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>				
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>				
<input type="checkbox"/> F-Proof of Possession of Aadhaar/ VID (Virtual ID)	<input type="text"/>				
<input type="checkbox"/> E-KYC Authentication	<input type="text"/>				
<input type="checkbox"/> Offline verification of Aadhaar	<input type="text"/>				

☐ Deemed Proof of Address - Document Type

Address: Line1*

Line 2

Line 3

City /Town /Village*

District*

Pin Code*

State/U.T*

Country*

Client Signature (1st Holder)

**Strike of whichever is not applicable

**PART B : Trading & Demat Account related details****NRE** ✓ Tick

Account Type ☐ NRI-Repatriable ☐ NRI-Non Repatriable ☐ Promoter ☐ Qualified Foreign Investor
☐ Foreign National ☐ Margin ☐ Others (Please specify)

Nature of A/C ☐ Offline Trading ☐ Internet Trading **Additional Facilities** ☐ Mobile Trading

BANK ACCOUNT DETAILS *Please map the bank account to be opened vide aforesaid Application No. to this Trading Account.
 Application No. 202320 / Account No.

Account Type : ☐ Saving ☐ Current ☐ NRE ☐ NRO ☐ FPI ☐ Others

Nature of Account : ☐ Single ☐ Joint

Bank Name _____ / Branch Address _____

Pin Code _____ MICR NO _____ IFSC Code _____

Joint Account Holders (if any) 1 _____ 2 _____

PINS BANK ACCOUNT DETAILS (for NRI)**Account Number****Customer Relationship No.**

Bank Name

Branch Address

Pin Code _____ MICR NO _____ IFSC Code _____

RBI Reference No.**RBI Approval Date :** _____

DEPOSITORY ACCOUNT DETAILS (through which transactions will be routed) : ☐ New DP ☐ Existing DP

Beneficiary ID/Application No. 202320 * Please map the DP account to be opened vide aforesaid Application No. to this Trading Account
 (Application No is accepted only if the Demat A/c is opened with Kotak Securities)

Depository Participant Name :

Depository Name : ☐ NSDL ☐ CDSL **DP ID** _____

Beneficiary Name :

Ensure proof is provided for all DPs

Additional DP details :

(For more, provide details on a separate sheet in the format given above)

DP ID**Client ID****DP Name****Depository Name****PART B : Trading & Demat Account related details****NRO** ✓ Tick

Account Type ☐ NRI-Repatriable ☐ NRI-Non Repatriable ☐ Promoter ☐ Qualified Foreign Investor
☐ Foreign National ☐ Margin ☐ Others (Please specify)

Nature of A/C ☐ Offline Trading ☐ Internet Trading **Additional Facilities** ☐ Mobile Trading

BANK ACCOUNT DETAILS *Please map the bank account to be opened vide aforesaid Application No. to this Trading Account.
 Application No. 202320 / Account No.

Account Type : ☐ Saving ☐ Current ☐ NRE ☐ NRO ☐ FPI ☐ Others

Nature of Account : ☐ Single ☐ Joint

Bank Name _____ / Branch Address _____

Pin Code _____ MICR NO _____ IFSC Code _____

Joint Account Holders (if any) 1 _____ 2 _____

PINS BANK ACCOUNT DETAILS (for NRI)**Account Number****Customer Relationship No.**

Bank Name

Branch Address

Pin Code _____ MICR NO _____ IFSC Code _____

RBI Reference No.**RBI Approval Date :** _____

DEPOSITORY ACCOUNT DETAILS (through which transactions will be routed) : ☐ New DP ☐ Existing DP

Beneficiary ID/Application No. 202320 * Please map the DP account to be opened vide aforesaid Application No. to this Trading Account
 (Application No is accepted only if the Demat A/c is opened with Kotak Securities)

Depository Participant Name :

Depository Name : ☐ NSDL ☐ CDSL **DP ID** _____

Beneficiary Name :

Ensure proof is provided for all DPs

Additional DP details :

(For more, provide details on a separate sheet in the format given above)

DP ID**Client ID****DP Name****Depository Name**

Signature

X Initials

! Note

✓ Tick

A Capital Letters

3

**Declaration in lieu of PAN No. (U/s 139 Rule 114B) :**☐ I do not have PAN as I am not liable to obtain the same as per any provisions of the Income Tax Act **Please refer checklist for details****Trading Preference:**

Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client. If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

Exchange**Segment**

NSE

BSE

CASH

OTHER DETAILS: ☐ Gross Annual Income Details (please specify) :

Income Range per annum

☐ Below ₹ 1 lac ☐ ₹ 1-5 lac ☐ ₹ 5 -10 lac ☐ ₹ 10 - 25 lac ☐ More than ₹ 25 lac OR

Networth

Amount (₹)

As on (date)

D D M M Y Y Y Y

(Networth should not be older than 1 year)

☐ Occupation
(please tick any one and give brief details)☐ Private Sector ☐ Public Sector ☐ Government Service ☐ Business
☐ Retired ☐ Agriculturist ☐ Professional ☐ Student
☐ House wife ☐ Forex Dealer ☐ Others**Brief Details**

GSTN

☐ Please tick, if applicable
Any other information☐ Politically Exposed Person *(PEP) ☐ Related to a Politically Exposed Person *(PEP)**Past Actions**Details of any action/proceedings initiated/pending/taken by SEBI/Stock exchange/any other authority against the applicant/constituent in charge of dealing in securities during the last three years. Yes ☐ No ☐ If yes, please provide detail
Is _____**Dealings through Authorised person and Other Stock Brokers**

• If client is dealing through the Authorised person, provide the following details:

Authorized person name _____ SEBI Registration number _____

Registered Office Address _____

Phone _____ Fax _____ - Website _____

• Whether dealing with any other Stock Broker/Authorised person (if 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: ☐ Yes ☐ No If yes, _____**Additional Details**

• Whether you are an Investment Advisor registered with SEBI

☐ Yes ☐ No If yes, please provide SEBI Registration no. _____

• Whether you are an employee / authorised representative/clerk in the employment of another trading member?

☐ Yes ☐ No (If yes, attach the NOC of other trading member.)• Preference for receiving Standard documents* ☐ Electronic ☐ Physical (In case your preference is 'Physical' then please ensure that you receive the copy of Standard documents from sales person before account opening.)

*Standard documents includes Rights & Obligations document, Risk Disclosure document & Guidance Note.

(Ref: SEBI Cir. No. : CIR/MIRSD/64/2016 dated July12, 2016)

• Whether you are Member/ Authorised person/ Remisier of any Exchange: ☐ Yes ☐ No If yes, please provide SEBI Reg. Number _____

• Whether you wish to receive Physical Contract Note or Electronic Contract Note (ECN)

☐ Physical ☐ Electronic Specify your Email Id _____ Same as mentioned in Part A

*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.

INFORMATION ABOUT INVESTMENT EXPERIENCE**Investment and Trading Experience and Preferences**☐ No prior experience No. of Years in Stock ☐
No. of Years in Derivatives ☐ No. of Years in any other investment ☐**Educational Qualifications**☐ Non Graduate ☐ Graduate ☐ Post Graduate
☐ Professionally qualified ☐ Others _____**Name of Employer (If Employed)****Name of Establishment (if self employed / business / professional / others)**

Nature of Business _____

Office Address : _____

City _____

Pin _____

Introducer ☐ Self Introduced ☐ Introduced by others (If introduced by others please fill up below details) **Details of Introducer**

Name	Surname	Name	Middle Name
Address			
Telephone No. of Introducer			
Status of Introducer	Employee/Authorised person/Remisier/Authorised Person/ Existing client/Others, Please specify		

Introducer's Signature**Client Signature**

Place:

Date:



Signature



Initials



Note



Tick



Capital Letters


PART C DEMAT ACCOUNT OPENING FORM
☒ NRE ☐ NRO - ☐ NRE & NRO BOTH ☒ Tick

Client-ID (To be filled by Participant)

(I hereby authorise Kotak Securities Ltd. to use below details for opening Demat account)

Standing Instructions
I/We authorise you to receive credits automatically into my/our account : ☐ Yes ☐ NoAccount to be operated through Power of Attorney (PoA) : ☐ Yes ☐ No
SMS Alert facility Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form : Sole/First Holder ☐ Yes ☐ No

Option for issuance of DIS booklet alongwith account opening

(to be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)

Option for Issue of DIS booklet (please tick any one)
Option 1 ☐ I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/us on my/our request at any later date.

Option 2 ☐ I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

Option to avail BSDA

(Applicable only to individual accounts)

☐ I/We wish to open regular demat account.☐ I/We wish to open BSDA account*

*BSDA - Basic Services Demat Account is a facility with limited services for individuals eligible as per the SEBI guidelines. For more details, please refer SEBI circular No. CIR/MRD/DP/22/2012 dated August 27, 2012 and SEBI Circular No. CIR/MRD/DP/20/2015 dated December 11, 2015.

Guardian Details (where sole holder is a minor)

For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)

A Guardian Name	First Name	Middle Name	Last Name
PAN			
Relationship of guardian with minor			

Declaration

- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having received and read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We further confirm having received/read and understood the contents of the 'Rights and Obligations' document(s), of stock broker/Authorised person & clients and Rights And Obligations of beneficial owner and depository participant, 'Risk Disclosure Document' 'Additional risk disclosure documents' for options and 'Guidance Note'. 'Rights And Obligations of the Clearing Member/Participant and its client in relation to the Securities Lending And Borrowing Scheme', 'Additional risk/obligation/liability statement in case of trading through wireless technology/Smart Order Routing/Mutual Funds on Exchange platform', 'FAQ on Anti Money laundering (AML)' and nomination. 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 Company's designated website www.kotaksecurities.com at <http://kotaksecurities.com/kswweb/Important-Policies>.
- The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts.
- I/We understand that I can submit either of the following document copy as an address proof for registration.
a. Voter ID Card, b. Driving License, c. Passport, d. Aadhaar Card, e. Utility Bills etc. I willingly give my consent to Kotak Securities Limited to accept copy of my Aadhaar card and proceed with the referred application.
- The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations.
- DISCLOSURE AND NOTING OF MEMBER'S PRO ACCOUNT TRADING**
I/We confirm that I/we have made note that Kotak Securities Ltd. trades in its OWN/PRO account in National Stock Exchange of India Limited (NSE), Bombay Stock Exchange Limited (BSE) and Metropolitan Stock Exchange of India Limited (MSE).

Note: You can view the copies of your executed client registration form (KYC) and other documents on www.kotaksecurities.com from 5.00 pm to 8.00 am post login to your account or you will receive the copies of Client Registration Form and other documents executed by you along with welcome letter, as per your preference. It is your responsibility to check, scrutinize the said forms and documents and intimate discrepancies, if any to KSL immediately.

Client Signature (1st Holder)

Place:

PART D: Common Nomination form for Trading & Demat Account Please tick (✓) any one

☐ I/We wish to make a nomination. [As per NSDL Form 10 details in case of demat account] ☐ Trading ☐ Demat
Number of Nominees : 1. ☐ 2. ☐ 3. ☐
☐ I/We do not wish to make a nomination. [Strike off the nomination details below] ☐ Trading ☐ Demat

(Nomination can be made upto three nominees in demat account however for trading account only single person mentioned in Details of 1st nominee will be considered)

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

**Signature Required****202320
Nomination Details****MANDATORY**

Name (Mr./Ms.) _____

Share of Nominee-100% (in trading a/c) ☐ Equally ☐
 Share of each Nominee(s) (in demat a/c) if not equally, please specify percentage _____ %

Any odd lot after division shall be transferred to the first nominee mentioned in the form

Relationship with the Applicant (if Any) _____

Address _____ PIN Code _____

Mobile/Telephone _____

Email ID _____

Nominee Identification Details

(Please tick any 1 of the below & provide details of the same)

- ☐ Photograph & Signature
☐ PAN ☐ VID
☐ Saving Bank A/c No.
☐ Proof of Identity
☐ Demat Ac ID

Below details should be filled only if nominee(s) is a minor:

Date of Birth _____ / _____ / _____

Name of Guardian (Mr./Ms.) _____

Address of Guardian _____ PIN Code _____

Mobile/Telephone of Guardian _____

Email ID of Guardian _____

Relationship of Guardian with nominee _____

Guardian Identification Details

- ☐ Photograph & Signature
☐ PAN ☐ VID
☐ Saving Bank A/c No.
☐ Proof of Identity
☐ Demat Ac ID

Client Signature (1st Holder)**Signature of Witness for Nomination**

Name of the Witness	Address	Signature of witness

Notes :

1) The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Nonindividuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form. 2) A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner. 3) The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time. 4) Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities. 5) Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir. 6) The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate and partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form. 7) On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s). 8) Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees. 9) On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees. 10) Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Instruction List. 11) Savings bank account details shall only be considered if the account is maintained with the same participant. 12) DP ID and client ID shall be provided where demat details is required to be provided. 13) All communication shall be sent at the address of the Sole/First holder only. 14) Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate. 15) Strike off whichever is not applicable.

FOR OFFICE USE ONLY**UCC Code allotted to the Client:** _____**Client ID:** _____**Declaration from Employee / Authorised person**

Declaration: "I hereby declare that I have met the client personally and verified the person with the photo provided in account opening form (In person verification) and have verified all the proofs with original (OSV). I am aware of Civil and Criminal liability that may devolve upon me (irrespective of whether I remain in employment or not) as per law and Company policies, in the event of false declaration to this effect."

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

Date _____
Date _____
Date _____**Employee / Authorised
Person Name & Signature****Signature of the
Authorised Signatory****Seal/ Stamp of the
tock broker**



Schedule of Charges for Non-Resident

Please fill the brokerage rates in the below table.

		Brokerage Rate		Minimum / Lot Value	
		First Leg	Second Leg	First Leg	Second Leg
CASH SEGMENT					
				Priority No.	
	Delivery		N.A.		N.A.
	Square off				

Other Charges# 0.02%

Note: 1. To be filled up only if opting for flat brokerage, for Scheme wise / Product wise brokerage, please sign the brokerage scheme document attached with form.

SCHEDULE OF CHARGES - Trading Account

Sr. No.	Account Head	Rate
1	Trading Account Opening Charges - KSec.	₹ 1,000/-

*Applicable from the second year onwards.

Minimum brokerage of Rs. 50/- shall be charged on every executed order in cash segment, subject to ceiling of 2.5% of contract value.

#In case of option contracts, other charges will be charged on transaction value i.e. (Strike Price plus Premium)*Quantity.

Charges for other Services

Nature of charge	Internet trading client (online)	Non Internet trading client (offline)
Auction Charges	Actuals or ₹ 25 per auction whichever is higher	
Cheque Bounce Charges	₹ 350 + Bank Charges	₹ 500 + Bank Charges
Research call on SMS	As per subscription on web	
Password Printing and Dispatch Charges (Per Request)	₹ 25	Not Applicable
Call & Trade Charges per Call (First 20 calls per month are Free of Cost)	₹ 20	Not Applicable
Product Change Charges	₹ 500*	Not Applicable
Contract Notes:		
Contract note in digital form	Nil	Nil
Duplicate Hard Copy Contract Note dispatch on client request (one dispatch in a Month)	₹ 49	₹ 49
Digital Copy (Email Copy) for Current Financial Year	Free	Free
Digital Copy (Email Copy) for Previous One Financial Year	Free	Free
Digital copy (Email Copy) for prior to Previous One Financial Year	₹ 99 / Month	₹ 99 / Month
Interest on debit balance - Standard rate per annum	24%	24%
Inter - settlement charges	0.04% of the transaction value or ₹ 31.50 whichever is higher	
CDSL Pool account penalty shall be recovered from client on actual basis for ISIN not active with NSDL	0.0085% per day for the security value.	
Any Statement Request:v		
Hard copy - Any Year	₹ 99 / Per Statement / Per year	
Soft Copy /Email Copy for Current Financial Year	Free	
Soft Copy for Previous Financial Year	Free	
Soft Copy for prior to Previous one Financial Year	₹ 99 / Per Statement / Per year	

*Subject to the product opted

Terms & Conditions:

- For Fixed Brokerage:** Minimum brokerage for Cash Delivery: _____ (per share) or Minimum brokerage of Rs.21 per executed order will be charged subject to ceiling of 2.5% of contract value.
- For Customized Brokerage:** Minimum brokerage for Cash Delivery: _____ (per share) or Minimum brokerage of Rs. _____ per executed order will be charged subject to ceiling of 2.5% of contract value.

Common Terms & Condition for above Plan:

- Other Charges will be applicable on transaction value in the following segment ie Cash: 0.02% or as updated on website from time to time, Please refer website for updated other charges details.
- STT, GST and all other applicable statutory taxes will be charged as per current applicable rate.
- Other charges represents a consolidated charge towards providing various value-added services such as Trade Confirmation SMS, electronic account access, portfolio tracker, access to research reports and market news SMS. Any increase in the other charges will be done with advance notice of 15 days to the client.
- Charges for other services will be applicable as given in the account opening form or as updated on website from time to time.

Note: Above are standard rates applicable. Kotak Securities Limited reserves right to modify charges at any time. Further, some products have different charge structure.

Please go to respective product link for charges applicable for the same.

Client Signature (1st Holder)



Signature Required

202320

**SCHEDULE OF CHARGES** - w.e.f. 1st April 2019 Schedule A (DP rate code RN)**VOLUNTARY**

Sr. No.	Account Head	Rate	Minimum Payable
1.	Dematerialisation	₹ 50/- per request and ₹ 3/- per Certificate	-
2.	Rematerialisation	₹ 10/- for 100 securities (shares, bonds, mutual fund units etc).	₹ 15/-
3.	Regular (Non- BSDA Account) Market / Off-Market Transactions (Sell)	0.04% of the value of securities (Plus NSDL Charges)	₹ 27/- (Plus NSDL charges as applicable)
	BSDA Account (For Individual Accounts only) Market / Off-Market Transactions (Sell)	0.06% of the value of securities (Plus NSDL Charges)	₹ 44.50/- (Plus NSDL Charges)
4.	Regular Account Maintenance Charges	Resident ₹ 65 p.m. for upto 10 debit transactions ₹ 50 p.m. for 11 to 30 debit transactions ₹ 35 p.m. for more than 30 debit transactions NRI - ₹ 75 p.m.	-
5.	Pledge Charges	0.05% of the value of securities	₹ 30/-
6.	Invocations of Pledge	0.04% of the value of securities	₹ 30/-
7.	Pledge Charges (For margin purpose)		
	a. Request	₹ 30 per ISIN	-
	b. Invocation	₹ 30 per ISIN	-
	c. Release (Un-pledge)	₹ 10 per ISIN	-
	d. Re-Pledge	FREE	-
8.	Charges for client master change (Applicable for Address, Email, Mobile and Bank Updation)	₹ 49/- per modification request	-
9.	DIS Re - Issuance	₹ 99/- per DIS Booklet	-
10.	Charges for CAS	₹ 3/- per month	-

Notes: • There are no charges payable at the time of opening the account. All other charges will be billed on a monthly basis.

- In case of delays in the payment of charges, the demat account can be frozen for all operations till such time all dues are cleared.
- All market instructions for transfer must be received latest by 4.00 p.m. on the previous working day prior to the pay in day as per SEBI Guidelines. All off market instructions for transfer must be received at least 24 hours before the execution date. Late instructions would be accepted at the account holder's sole risk and responsibility.
- Charges are subject to revision at the company's sole discretion subject to prior intimation to the clients or on revision in Depository charges.
- Any service not quoted above will be charged separately.
- Value of transaction will be in accordance with rates provided by the Depository or actual transaction value, whichever is higher.
- STT, GST and all other applicable statutory taxes will be charged as per current applicable rate.
- Quarterly statements of transaction may not be sent to the clients, if there is no transactions and no securities balance in the account. Account Maintenance Charges will not be levied in such cases.
- In accordance with the SEBI circulars (Ref # SEBI Circular No. CIR/MRD/DP/22/2012 dated August 27, 2012 and SEBI Circular No. CIR/MRD/DP/20/2015 dated December 11, 2015), DP's were advised to convert all such eligible demat accounts into BSDA unless such Beneficial Owners (BOs) specifically opt to continue to avail the facility of a regular demat account. For availing BSDA facility, the individual shall have only one BSDA in his/her name across all depositories. In case the BSDA account holder converts such account into Non-BSDA (regular account) account or the account holder ceases to meet the eligibility criteria for BSDA account, the charges applicable to Non-BSDA (regular account) shall be levied.
- For BSDA account holder, (for other than Debt securities) the Account Maintenance Charges (AMC) structure shall be on a slab basis; if the value of holdings
(a) Upto ₹ 50,000 there will be NIL AMC and (b) For Value of holding from Rs. 50,001 to Rs. 2,00,000 AMC will be upto Rs.100 per annum.
- For BSDA account holder (for Debt securities), the Account Maintenance Charges (AMC) structure shall be on a slab basis; if the value of holdings
(a) Upto Rs. 1,00,000 there will be NIL AMC and (b) For Value of holding from Rs. 1,00,001 to Rs. 2,00,000 AMC will be upto Rs.100 per annum.
- For demat accounts having NIL transactions during the year, statement of holding will be sent only once in a year w.e.f.1st October 2012
- As per NSDL's circular dated August 30, 2013, NSDL will levy ₹ 500/- as Annual Maintenance Charges for Corporate Accounts, effective 1st October, 2013.
- NSDL Charges would be levied to the respective account as regulatory charge and will be in addition to the DP charges levied by Kotak Securities Limited as per the schedule of charges.

Name & Sign of 1st Holder

I/We have read and understood the "Schedule of Charges"
prescribed above and agree to abide by the same.



Mode of Receiving Statement of Account [Tick any one] ☐ Physical Form ☐ Electronic Form (Read note below and ensure that email id is provided in KYC application form)

NOTES:

- For receiving Statement of Account in electronic form:
 - Client must ensure the confidentiality of the password of the email account.
 - Client must promptly inform the Participant if the email address has changed.
 - Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.



Signature



Initials



Note



Tick



Capital Letters

**FATCA / CRS Declaration for Individual Accounts**

The information in this section is being collected because of enhancements to Co's new account on-boarding procedures in order to fully comply with Foreign Account Tax Compliance Act (FATCA) requirements and the Common Reporting Standards (CRS) requirements pursuant to amendments made to Income-tax Act, 1961 read with Income-tax Rules, 1962. For more information refer: <http://bit.ly/29F0475> & <http://bit.ly/1pXp8Bg> (We are unable to provide advice about your tax residency. If you have any questions about your tax residency, please contact your tax advisor)

1st Holder - Section I (All fields are mandatory) (Please fill in BLOCK LETTERS)

1	Trading code: Client ID (To be provided only if demat account is with KSL)																			
2	Name of Account Holder																			
3	a. Address for Tax Residence _____ City _____ State _____ Country _____ Pin Code _____ (Please use this space in case you are Tax Resident of more than one country) b. Address for Tax Residence _____ City _____ State _____ Country _____ Pin Code _____																			
4	Address Type (Tick whichever applicable)	<input type="checkbox"/> Residential <input type="checkbox"/> Business <input type="checkbox"/> Registered Office <input type="checkbox"/> Residential/ Business																		
5	Do you satisfy any of the criteria mentioned below?	<table border="1"> <thead> <tr> <th></th> <th>Yes</th> <th>No</th> </tr> </thead> <tbody> <tr> <td>a. Citizen of any country other than India (dual/multiple) [including Green card]</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>b. Country of birth is any country other than India</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>c. Tax resident of ANY country / ies other than India</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>d. POA or a mandate holder who has an address outside India</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>e. Address or telephone number outside India</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </tbody> </table>		Yes	No	a. Citizen of any country other than India (dual/multiple) [including Green card]	<input type="checkbox"/>	<input type="checkbox"/>	b. Country of birth is any country other than India	<input type="checkbox"/>	<input type="checkbox"/>	c. Tax resident of ANY country / ies other than India	<input type="checkbox"/>	<input type="checkbox"/>	d. POA or a mandate holder who has an address outside India	<input type="checkbox"/>	<input type="checkbox"/>	e. Address or telephone number outside India	<input type="checkbox"/>	<input type="checkbox"/>
	Yes	No																		
a. Citizen of any country other than India (dual/multiple) [including Green card]	<input type="checkbox"/>	<input type="checkbox"/>																		
b. Country of birth is any country other than India	<input type="checkbox"/>	<input type="checkbox"/>																		
c. Tax resident of ANY country / ies other than India	<input type="checkbox"/>	<input type="checkbox"/>																		
d. POA or a mandate holder who has an address outside India	<input type="checkbox"/>	<input type="checkbox"/>																		
e. Address or telephone number outside India	<input type="checkbox"/>	<input type="checkbox"/>																		

If your answer to any of the above questions is a 'YES', please fill Section II of the form, else go to declaration & acknowledgment

1st Holder - Section II (All fields are mandatory)

Father's name _____ (If PAN not available, then mandatory)
 Country of Birth _____ Place within the country of birth _____
 (If USA, however nationality and/or country of tax residency is not USA, Please provide documentary evidence as mentioned in instruction 1)
 Source of Wealth _____ Nationality _____
 Please list below the details, confirming ALL countries of tax residency/ permanent residency/ citizenship and ALL Tax Identification Numbers

Country of Tax residency	Tax identification no ^s	Tax identification document (TIN or functional equivalent)

It is mandatory to supply a TIN or functional equivalent (in case TIN not available) if the country in which you are tax resident issues such identifiers. If no TIN /functional equivalent is yet available or has not yet been issued, please provide an explanation _____

Declaration & Acknowledgment

I/We being the beneficial owner of the account opened / to be opened with Kotak Securities Limited(KSL) and the income credited therein, declare that the above information and information in the submitted documents to be true, correct and updated, and the submitted documents are genuine and duly executed. I/We acknowledge that towards compliance with tax information sharing laws, such as FATCA/CRS, the KSL may be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from the account holder. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances (including if the KSL does not receive a valid selfcertification from me) KSL may be obliged to share information on my account with relevant tax authorities. Should there be any change in any information provided by me I/We ensure that I/We will advise KSL promptly, i.e., within 30 days. Towards compliance with such laws, the KSL 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, the KSL may also be constrained to withhold and pay out any sums from my account or close or suspend my account(s). I/We further agree that the information provided above will be updated in all my trading/demat accounts, if any at PAN level. I/We also understand that the account will be reported if any one of the aforesaid FATCA / CRS criteria for any of the account holders i.e. primary or joint (in case of demat account) are met.

Client Signature (1st Holder)







Instructions to the Form

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/ CRS Indicia observed (ticked)	Documentation required for Cure of FATCA/ CRS indicia
U.S. place of birth	<p>Self-certification that the account holder is neither a citizen of United States of America nor a resident for tax purposes;</p> <p>Non-US passport or any non-US government issued document evidencing nationality or citizenship (refer list below);AND</p> <p>Any one of the following documents:</p> <p>Certified Copy of Certificate of Loss of Nationality or</p> <p>Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship; or</p> <p>Reason the customer did not obtain U.S. citizenship at birth</p>
Residence/mailling address in a country other than India or Telephone number in a country other than India	<p>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</p> <p>2. Documentary evidence (refer list below)</p>
Standing instructions to transfer funds to an account maintained in a country other than India (other than depository accounts)	<p>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident of any country other than India; and</p> <p>2. Documentary evidence (refer list below)</p>
POA granted to a person with an address in a country outside India	<p>1. Self-certification that the account holder is neither a citizen of United States of America nor a tax resident for tax purposes of any country other than India; OR</p> <p>2. Documentary evidence (refer list below)</p>

A. List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

- Certificate of residence issued by an authorized government body*
 - Valid identification issued by an authorized government body* (e.g. Passport, National Identity card, etc.)
- * Government or agency thereof or a municipality of the country or territory in which the payee claims to be a resident.

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

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

Office Use Section:

	Signature Verified
Name of the Employee	
Employee Code	
Designation of Employee	
Place	
Date	





This Power of Attorney is made at _____ at this the _____ day of _____ by _____

_____ TO ALL TO WHOM THESE PRESENT SHALL COME, I/we (hereinafter referred to as "the Client" which expression shall, unless it be repugnant to meaning or context thereof, be deemed to mean and include, where the Client is an individual or a proprietorship firm, his/her heirs, executors and administrators, where the Client is a partnership firm, the partners or partner for the time being of the said firm, the survivors or survivor of them and the heirs, executors and administrators of the last surviving partner, their or his assigns, where the Client is the Karta of a Hindu Undivided Family, the member or members for the time being of the said Hindu Undivided Family, and their respective heirs, executors, administrators and assigns, where the Client is a company, its successors in title and permitted assigns, where the Client is the Board of Trustees of a Trust, its successors and where the Client is the Governing Body of a Society, the respective successors of the members of the Governing Body and any new members elected, appointed or co-opted), DO SEND GREETINGS: (please give residence address for individuals, office address for proprietorship and partnership and HUF and registered office for companies, trusts and societies).

WHEREAS.

- A. KOTAK SECURITIES LIMITED, (hereinafter referred to as "KS"), a company incorporated under the Companies Act, 1956 and having its registered office at 27 BKC, C27, G Block, Bandra Kurla Complex, Bandra (E) Mumbai 400051. is inter alia registered as a trading and clearing member with Bombay Stock Exchange Limited, Metropolitan Stock Exchange and National Stock Exchange of India Limited (hereinafter referred to as the Exchanges), is registered with Association of Mutual Funds of India as a Distributor for distributing the schemes of various mutual funds.
 - B. The Client is desirous of investing in securities (as defined under Securities Contracts (Regulations) Act, 1956) and other financial product and has entered/is in the process of entering into an arrangement with KS for purpose of participating in the brokerage facilities and/or other services including but not limited to trading through phone broking services, being offered by KS, through its website www.kotaksecurities.com (or through any other website as launched by KS for offering the said services).
 - C. The Client is also desirous of using his/its bank account and/or Demat account with respect to the purposes stated hereinabove.
 - D. For the purpose of availing the above mentioned service, the Client is desirous of appointing KS through their directors and/or their duly authorized officers as its constituted attorney(s), for carrying out acts, matters and things as required for the purpose of meeting the settlement obligations and margin requirements of the Client in connection with the trades executed by Client on the Stock Exchanges through KS.
- NOW KNOW YE ALL MEN AND THESE PRESENTS WITNESSETH that I/we the Client do hereby nominate, constitute and appoint KS, as my/our Attorney, (hereinafter referred to as "the Attorney") acting through any of its directors and/or its duly authorized officers to be my/our true and lawful Attorney for and on behalf of, to do all or any of the acts, matters and things and to exercise all or any of the powers and authorities

hereby specifically conferred upon KS Under these Presents KS is empowered to do as under:

1. To transfer the securities held in the beneficial owner account of the Client as specified in the Schedule I to this POA, towards Exchange related settlement /delivery obligations arising out of trade executed in the Client's account on the Exchange through KS.
2. To initiate pledge in favour of KS for the limited purpose of meeting the margin obligations / settlement / delivery obligations of the Client in connection with the trades executed by the Client on the Exchanges through KS and to further re-pledge the securities in favour of Clearing Members (CM) and / or Clearing Corporations (CC) for the limited purpose of meeting the margin obligations.
3. To invest and or subscribe in various products like Mutual Fund, Public Issued (shares as well as debentures) rights, offer of shares, tendering shares in open offers etc. and to redeem the same pursuant to the Instructions of the Client.
4. To transfer funds from the bank account of the Client as specified in the Schedule II to this POA,
 - a. For meeting the settlement obligations of the Client and or margin requirements of the Client in connection with the trades executed by the Client on the Exchange through KS.
 - b. For recovering any outstanding amount due from the trading activities of the Client through KS on the Stock Exchanges.
 - c. For meeting obligations arising out of the Client subscribing to such other products/ facilities/services through KS like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares.
 - d. Towards monies/ fees/ charges due from the Client to KS (in its capacity as a stock broker and/or depository participant) arising out of the services availed by the Client relating to stock broking and depository services.
5. To transfer securities and/or funds to the Demat account and Bank account as specified in Schedule III and IV to this POA.
6. To return to the Client the Securities and/or funds that may have been received erroneously.
7. To send to the Client consolidated summary of Client's scrip wise buy and sell positions taken with average rates by way of SMS/e-mail on a daily basis.
8. To do all such acts and things as KS may in its discretion considers necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities. AND I/WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney shall be valid, effective and operative till the termination of the Arrangement or any arrangement(s) that I/we have entered into with KS and satisfaction in full of all the obligations under the same. The powers and authorities vested in Attorney by this Power of Attorney can be revoked at any time, even prior to the termination of arrangement, by written revocation request/ instruction to the Attorney subject to the fulfillment of all my/our obligations arising under the arrangement. The cessation of this authority shall not affect or impair any act done in exercise of these presents. AND The Client and the Attorney can amend Schedule I and II of these.



present by mutual consent in writing. The Client can amend Schedule III by prior written intimation to the Attorney or amending the same on the website of the Attorney www.kotaksecurities.com through his/her/it secured login. Similarly the Attorney can amend Schedule IV by prior written intimation to the Client or amending the same on its website www.kotaksecurities.com available to the client through his/her/it secured login.

SCHEDULE I

Detail of demat account of the client which the Attorney can operate.

Demat A/c DP ID	
Demat account to be opened through Application/Form No:	202320
Client ID	
with DP ID	IN 300214

SCHEDULE II

Bank Account of the Client which the attorney can operate.

Saving Bank A/C:		With	
Saving account to be opened through Application No:	202320	With	

SCHEDULE III

Bank and Demat account where funds and securities can be moved.

Saving Bank A/C:		Client ID	
Demat A/c DP ID:		With	

SCHEDULE IV

Bank and Demat account of the Attorney where funds and securities can be moved.

Note : KSL-Kotak Securities Ltd.
ICCL-Indian Clearing Corporation Ltd.
NCL-NSE Clearing Ltd.

Details of Demat Accounts		
CM BP ID/DP ID	DP Name	Description
IN550379	KSL	NSE-CM-Pool A/c
IN606738	KSL	BSE-CM-Pool A/c
IN473531	KSL	MSE-CM-Pool A/c
14804236/IN300214	KSL	Client Margin A/c
IN620031	ICCL	BSE-Star MF CLG Pool
IN565576	NCL	NSE MFSS CLG Pool
1202510000000041	KSL	NSE-CDSL-CM-Pool A/c
1202510000000016	KSL	BSE-CDSL-CM-Pool A/c
IN530824/26089554/	KSL	NSE-NSDL-CUSA A/c
IN610833/26093149/	KSL	BSE-NSDL-CUSA A/c
1202510000009549	KSL	KSL-CDSL-CUSA A/c

AND it is hereby clarified and declared that the Attorney being a body corporate the powers hereinbefore granted, may be exercised by any of its employee/authorized representative to whom the Attorney may delegate any of the powers aforesaid and accordingly the Attorney may appoint and remove any sub-agent or attorney from time to time as it may consider.

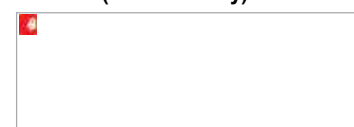
26098407/IN300214	KSL	NSE-NSDL-Client Collateral A/c
1202510000009568	KSL	NSE-CDSL-Client Collateral A/c
26098835/IN300214	KSL	NSE-NSDL-Stock Broker Collateral A/c
1202510000009553	KSL	NSE-CDSL-Stock Broker Collateral A/c
26114025/IN300214	KSL	BSE-NSDL-Client Collateral A/c
1202510000009608	KSL	BSE-CDSL-Client Collateral A/c
26113645/IN300214	KSL	BSE-NSDL-Stock Broker Collateral A/c
1202510000009591	KSL	BSE-CDSL-Stock Broker Collateral A/c
26098520/IN300214	KSL	NSDL-Client Margin Trading Securities A/c
1202510000009572	KSL	CDSL-Client Margin Trading Securities A/c
25898262/IN300214	KSL	KSL NSDL A/c - Pledging of Client Securities
1202510000009587	KSL	KSL CDSL A/c - Pledging of Client Securities
26528649/IN300214	KSL	TM/CM-Client Securities Margin Pledge Account
26528657/IN300214	KSL	TM- Client Securities under Margin Funding Account
1202510000009781	KSL	Corporate TM/CM CMPA
1202510000009777	KSL	Client Securities Margin Funding Account

Kotak Mahindra Bank Limited - Bank A/c No.	
09582540000851	2211382395
09582000000777	2211382388
09582650000173	9411370887
09582650000160	09582650006423
09582650000295	09582650006524
5313986959	

Client Signature (1st Holder)



We accept Kotak Securities Limited (The Attorney)



Signature



Initials



Note



Tick



Capital Letters



202320

(To be submitted by Non-Resident customers at the time of Account opening)

Declaration for Non-solicitation of account information

I/We hereby solemnly affirm and declare that:

1. I/We have voluntarily decided to avail products/services offered by Kotak Securities Limited for purchase of shares/debentures on the recognised Stock Exchanges in India on which Kotak Securities Limited is a Member, subscription of shares through Initial Public Offerings and investment in Mutual Funds registered in India. 2. I/We declare that Kotak Securities Limited has neither solicited nor offered me/us its services as mentioned above directly or indirectly with respect to opening of Trading Account and / or Demat Account. 3. I/We am/are aware that the services of Kotak Securities Limited are only available to such persons who are residing in countries where investment in and trading of Indian securities on Indian stock exchanges is permitted. 4. I/We further, unconditionally state and declare that I/we shall comply with all applicable Acts, Rules, Regulations etc. in the country/state/area where I/we am/are currently residing as well as all statutory and regulatory provisions enforced in India including but not limited to Foreign Exchange Management Act, 2000, Reserve Bank of India Act, 1934 and Securities and Exchange Board of India Act, 1992 for trading on Exchanges, subscription of shares through Initial Public Offerings and investment in Mutual Funds registered in India. 5. I/We further undertake to not hold Kotak Securities Limited, its officials, its successors and assigns and the directors and officers thereof and their respective heirs, executors and administrators and each of their estates and effects, liable against any claim, demand, suit, losses, damages, expenses and all sums of money that may be incurred, paid, suffered by me/us of whatsoever nature and all actions and proceedings that may be filed, taken or instituted against me/us by reason of my/our opening and operating the said trading account held with Kotak Securities Limited or for my/our transaction on exchanges through Kotak Securities Limited or availing Kotak Securities Limited's Financial Products and services. 6. I have personally visited India and approached Kotak Securities Ltd. for the purpose of opening Trading and Demat accounts. (Strike off if not applicable). I also hereby authorize Mr. _____ residing at _____

_____ relation _____ to act on my behalf for the purpose of account opening.

I/We solemnly declare that the aforesaid statement are true and correct to the best of my/our knowledge and belief



Thanking You,

Name:**Date & Place:**

Self Declaration

VOLUNTARY

I hereby confirm that my account will be opened as per name appearing on Income Tax website.

Authorization

Do you wish to authorize a representative to handle the account' with ☐ Yes ☐ No option.

Voluntary T&C

I confirm having received/ read/ been explained and understood the contents of the Voluntary Terms and Conditions.
Please refer : <https://www.kotaksecurities.com/ksweb/Important-Policies>

Client Signature


Signature



Initials



Note



Tick



Capital Letters