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TMICM: Kotak Securities Limited, Registered Office: 27 BKC, C 27, G Block, Bandra Kurla Complex, Bandra (E), Mumbai - 400051 • SEBI Registration No: INZ000200137(Member of NSE, BSE, MSE, MCX and NCDEX) Research Analyst INH000000586, NSDL/ CDSL: IN-DP-629-2021, AMFI ARN:0164, PMS INP000000258, CIN: U99999MH1994PLC134051, Compliance Officer Name: Hiren Thakkar; 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 queries/service request/feedback for your accounts, please contact Kotak Securities Ltd at service.securities@kotak.com or Toll Free No. 1800 209 9191. In case of any grievance/ complaint against Kotak Securities Limited for your account please contact Kotak Securities Ltd. at E-mail ID- ks.escalation@kotak.com or Toll Free No. 18002099393.

Registration granted by SEBI and certification from NISM in no way guarantee performance of the intermediary or provide any assurance of returns to investors. Investment in securities market are subject to market risks. Read all the related documents carefully before investing.

Investor Grievance redressal matrix as mentioned below:

Details of	Contact Person	Address	Contact No.	Email Id	Working Hours
Customer care/ Complaints	Mr. Ritesh Shah	Kotak Towers, 8th Floor, Building No.21, Infinity Park, Off Western Express Highway, Malad (East), Mumbai, Maharashtra - 400097	18002099393	ks.escalation@kotak.com	9 a.m. to 6 p.m. All trading days
Head of Customer Care	Mr. Tabrez Anwar	Kotak Towers, 8th Floor, Building No.21, Infinity Park, Off Western Express Highway, Malad (East), Mumbai, Maharashtra - 400097	022-42858208	ks.servicehead@kotak.com	9 a.m. to 6 p.m. All trading days
Compliance Officer	Mr. Hiren Thakkar	Kotak Towers, 8th Floor, Building No.21, Infinity Park, Off Western Express Highway, Malad (East), Mumbai, Maharashtra - 400097	022-42858484	ks.compliance@kotak.com	9 a.m. to 6 p.m. All trading days
CEO	Mr. Jaideep Hansraj	Kotak Towers, 8th Floor, Building No.21, Infinity Park, Off Western Express Highway, Malad (East), Mumbai, Maharashtra - 400097	022-42858301	ceo.ks@kotak.com	9 a.m. to 6 p.m. All trading days



In case not satisfied with the response, please contact the concerned exchange(s) / Depository at:

Exchange	NSE	BSE	MSE	MCX	NCDEX
Email ID	ignse@nse.co.in	is@bseindia.com	investorcomplaints@mse.com	grievance@mcxindia.com	
Phone No	18002660058	(022) 2272 8097	(022) – 61129000 Ext. 9028	(022) 6731 8888	(022) 6640 6789
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 :

1. 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.
2. 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).
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. In case of high risk clients like PEP (Political Exposed Person) documents specified as proof of identity and address for opening simplified measure account are not applicable
9. 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.
10. "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"
11. "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

**PART B : Trading & Demat Account related details**☒ **NRE** ✓ Tick**Account Type** ☐ NRI-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 ☐ 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 :** D D M M Y Y Y Y**DEPOSITORY ACCOUNT DETAILS** (through which transactions will be routed) : ☐ New DP ☐ Existing DPBeneficiary 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-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 ☐ 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 :** D D M M Y Y Y Y**DEPOSITORY ACCOUNT DETAILS** (through which transactions will be routed) : ☐ New DP ☐ Existing DPBeneficiary 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



Initials



Note



Tick



Capital Letters



Trading Preference	Exchanges: NSE, BSE
Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.	Segments: Cash / Mutual Fund
	Client Signature
If you do not wish to trade in any of segments / Mutual Fund, please mention here:	

Note: For the Exchange-segments as may be opted by you in the above table, please note that KSL may offer trading access in one or more than one trading platform of aforementioned Exchanges-segments, which may be subject to change from time to time. To know the details, we request you to get in touch with your Relationship Manager or the designated Customer Service desk.

Kotak Securities Limited: AMFI-registered Mutual Fund Distributor

In case you have opted for activation of the Mutual Fund segment in the above table, the following terms & conditions are applicable to your account:-

Client who places the MF order under 'Execution Only' category agrees, confirms and understands as under;

- I/we have read and understood the T&C, details, rules and regulations governing the scheme and content of the Scheme Information Document (SID) / Statement of Additional information (SAI), Key Information Memorandum (KIM) etc. of the mutual fund schemes.
- I/we understand that KSL is a distributor of MF's of various Asset Management Companies (AMC's) including Kotak Asset management Company Ltd which is a group company and is entitled to receive commission for the schemes of various MF's as distributor from various AMC's.
- I/We shall abide and ensure compliance to all the T&C, circulars / notices issued by the Exchanges, AMC, SEBI, AMFI and any other laws in force from time to time.
- I/We understand the risks involved in investing in MF Schemes and also confirm that order for the purchase /sale of units of MF scheme(s) shall be on the basis of my/our own analysis and I/we shall be wholly responsible for all my/our investment decisions. Details of AMC's for whom KSL is a distributor are given below on our website under the link <https://www.kotaksecurities.com/ksweb/mutual-funds>.
- I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/NAV etc. in respect of my/our investments as required. I/we understand and acknowledge that Riskometer is a self-assessment of risk by the respective AMC and the needle of the riskometer points to the level of risk associated with the Mutual Fund. Investors can use the riskometer to choose schemes which are in sync with their risk appetite. However, it is essential to note that although the riskometer can give an overall idea of the risk level, there are many factors involved that should be considered while selecting a fund and a riskometer should not be the sole indicator.
- I/we understand that Investors should consult their financial advisers if in doubt about whether the product is suitable for them. KSL shall not be liable for any loss incurred pursuant to financial decisions taken by me/us. I/We will be solely responsible for the investment plans chosen by me/us which may have varying levels of risk like low, low to moderate, moderate, moderately high, very high etc. and I/we shall independently evaluate all risks arising out of the same keeping my/our investment objectives in mind.

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**

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

Income Range per annum	<input type="checkbox"/> Below ₹ 1 lac <input type="checkbox"/> ₹ 1-5 lac <input type="checkbox"/> ₹ 5 -10 lac <input type="checkbox"/> ₹ 10 - 25 lac <input type="checkbox"/> More than ₹ 25 lac OR																				
Networth	Amount (₹) _____ As on (date) <table border="1"><tr><td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td></tr></table> (Networth should not be older than 1 year)	D	D	M	M	Y	Y	Y	Y												
D	D	M	M	Y	Y	Y	Y														
<input type="checkbox"/> Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist <input type="checkbox"/> Professional <input type="checkbox"/> Student <input type="checkbox"/> House wife <input type="checkbox"/> Forex Dealer <input type="checkbox"/> Others Brief Details																				
GSTN	<table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																				
<input type="checkbox"/> Please tick, if applicable Any other information	<input type="checkbox"/> Politically Exposed Person *(PEP) <input type="checkbox"/> 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

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

Number of years of Investment/ Trading Experience	
Educational Qualifications	<input type="checkbox"/> Non Graduate <input type="checkbox"/> Graduate <input type="checkbox"/> Post Graduate <input type="checkbox"/> Professionally Qualified <input type="checkbox"/> Other _____

Other Details

The Mobile No. mentioned on Part A belongs to ☐ Self ☐ Spouse ☐ Dependant Children ☐ Dependant Parent
Name of the relative _____ PAN

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The Email ID mentioned on Part A belongs to ☐ Self ☐ Spouse ☐ Dependant Children ☐ Dependant Parent
Name of the relative _____ PAN

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

Name of Introducer	Surname _____ Name _____ Middle Name _____
Address of Introducer	
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:




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 ☐ No

 Account to be operated through Demat Debit Pledge InstructionS (DDPI) ☐ Yes ☐ No

 For Joint accounts, communication to be sent to (Refer note 16 on page 15) First holder ☐ All joint account holders ☐

 Account to be operated through Power of Attorney (POA) (Given to person other than Kotak Securities LTD): ☐ Yes ☐ No

SMS Alert facility Mandatory if you are giving Power of Attorney (POA/DDPI). Ensure that the mobile number is provided in the KYC Application Form : Sole/First Holder ☐ Yes ☐ No Second Holder ☐ Yes ☐ No Third 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 or Demat Debit and Pledge Instruction to operate the depository account to a Stock Broker 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.

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 'Policies & Procedure For Client Dealings', 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' including commodities, '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 and Investor Charters. 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/ksweb/Important-Policies> and Investor Charters have been displayed at <https://www.kotaksecurities.com/ksweb/investor-charter>.
- 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.

6. 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.

7. **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)

1st 6 12

Place

Ver. 11/23-24/071020

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
stock 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. 11792	
	Delivery	1.00	N.A.	.10	N.A.
	Square off	.10	.10	.10	.10

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

I, hereby, consent to the following charges:

No.	Services	Charges
1	Auction Charges	On actuals (subject to minimum of 20 per auction)
2	Cheque Bounce Charges	350+ Bank Charges
3	Research Call on SMS	As per website
4	Password Printing and Dispatch Charges	100 per request + 50 courier charges
5	Product Change Charges	100
6	Contract Note (Digital)	Free
7	Duplicate Hard Copy Contract Note on Client Request	20 per contract note + 50 courier charges
8	Digital copy (E-mail) Contract Note for Current/ Previous Financial Year	Free
9	Digital copy (E-mail) Contract Note for years prior to Previous Financial Year	200 per year per request
10	Inter-Settlement Charges	0.04% of transaction value (subject to minimum of ` 20)
11	Statement Request	
a	Hard Copy	200 per statement per year + 50 courier charges
b	Digital copy/Email for Previous/Current Financial Year	Free
c	Digital copy for prior to Previous Financial Year	200 per statement per year
12	Fund Transfers through Payment Gateway	
a	Kotak 3-in1 Account (Trinity a/c)	Free
b	Via Bank Payment Gateway	9

STT, GST and all other applicable regulatory and statutory charges taxes will be charged as per current applicable rate

Client Signature

11



Signature X Initials



Note



Tick



Capital Letters



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 regulatory and statutory charges 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 <input type="text"/> (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 <input type="text"/>																			
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)





Signature



Initials



Note



Tick



Capital Letters



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	

Demat Debit and Pledge Instruction (DDPI)		Date							
I/we hereby give Demat Debit and Pledge Instruction to Kotak Securities Limited (KSL) for my/our demat accounts mentioned below:									
Demat account of the client for which this DDPI is given									
Demat account to be opened through Application / Form No:									
Client ID				with DP ID					
First Account holder Name Demat									
Second Account holder Name Demat									
Third Account holder Name Demat									
Details of Demat accounts of KSL where securities can be transferred and/or pledged using below mentioned DDPI are provided under Schedule I.									
Sr. No.	PURPOSE	Signature of Client*							
		First Holder	Second Holder	Third Holder					
1	Transfer of securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock Exchange through the same stock broker.								
2	Pledging / re-pledging of securities in favour of trading member (TM) / clearing member (CM) for the purpose of meeting margin requirements of the clients in connection with the trades executed by the clients on the Stock Exchange.								
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms								
4	Tendering shares in open offers through Stock Exchange platforms								
* the same may be eSigned or signed physically									
Schedule I: Demat accounts where securities can be transferred / pledged									
Note : KSL-Kotak Securities Ltd. ICCL-Indian Clearing Corporation Ltd. NCL-NSE Clearing Ltd.									
CM BP ID/DP ID	Name	Description	CM BP ID/DP ID	Name	Description				
IN550379	KSL	NSE-CM-Pool A/c	26528649/ IN300214	KSL	TM/CM-Client Securities Margin Pledge Account				
IN606738	KSL	BSE-CM-Pool A/c	26528657/IN300214	KSL	TM -Client Securities under Margin Funding Account				
IN620031	ICCL	BSE-Star MF CLG Pool	1202510000009781	KSL	Corporate TM/CM CMPA				
IN565576	NCL	NSE MFSS CLG Pool	1202510000009777	KSL	Client Securities Margin Funding Account				
1202510000000041	KSL	NSE-CDSL-CM-Pool A/c	1202510000054860	KSL	CDSL-CUSPA A/c				
1202510000000016	KSL	BSE-CDSL-CM-Pool A/c							
27325337/IN300214	KSL	NSDL-CUSPA A/c							
<input checked="" type="checkbox"/> We accept Kotak Securities Limited (Stock Broker)									



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

Debit Authorization Form

I/We authorize you to debit Rs. _____ (In Words Rs _____ only)
from my / our Account No _____ towards fees for my trading account with
M/s Kotak securities Ltd.

Signature(S)

Account Holder

DECLARATION

Dated :

To,
Kotak Securities Ltd,

I/We, the undersigned, _____ holding passport No/s _____
and Visa/Resident Permit No. _____ wish to open an account with Kotak Securities
Limited (KSL).

I/We confirm that my/our overseas address as updated in the NRI Account Opening Form is:

I/We hereby confirm that my/our Indian Address as mentioned in the NRI Account Opening Form is
designated as my/our communication address.

In case the address submitted by me undergoes a change, I /we hereby agree to submit fresh address
proof to KSL for updation of my/our records with KSL. I/we hereby confirm that in case KSL is not
satisfied about the validity of my/our address, KSL shall have the right to block/close my/our accounts.
I/We hereby agree and undertake to hold harmless and keep KSL fully indemnified against all
claims/damages, which may arise in respect hereof by reason of KSL relying and acting on this
declaration.

Client Name & Signature

Name :

Signature :

CLIENT LETTER TO KSL

Dated:

To,
Kotak Securities Limited (KSL)
Mumbai

Dear Sir,

Sub: - Trading Code [REDACTED] and Demat Id _____ and facilitating other investments through my bank account

I/We _____, residing at / having our office at _____

holding Trading and / or Demat account with Kotak Securities Limited (KSL).

For the purpose of facilitating my/ our securities transactions smoothly through KSL and for meeting settlement obligations / margin requirement and / or for recovering any outstanding amount due in connection with the trades executed by me / us through KSL and / or for meeting obligations arising out of any subscription to such other products/facilities/services through KSL like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc and / or further towards monies/ fees/charges due from me / us to KSL (in its capacity as a stock broker and/or depository participant) arising out of the services availed by me / us relating to stock broking, depository and other financial services through KSL. Furthermore, I/We authorise KSL to debit my/our designated bank account for the purpose of investment in Mutual Funds, PMS, AIF's, venture Capital Funds, SGB's, Corporate Fixed Deposits, any and all such investments etc. on my/our behalf. I/ We have given a mandate to debit my / our bank account No. _____ and CRN _____ to my / our banker Kotak Mahindra Bank Ltd. (KMBL).

In case of any amount due to me towards my / our accounts with you as above, please raise your demand to KMBL and they shall duly honour your instructions, however KMBL shall have a prior charge on the balances maintained in the account in respect of any amounts due and payable to it by me/us

I/We undertake to maintain adequate balance in my bank account with KMBL so as to ensure that your instructions are duly honoured. I further undertake that any disputes arising out of transactions between us shall be resolved between us mutually and that I shall not raise the same with KMBL or send any contrary instructions to KMBL.

A copy of mandate letter submitted to bank is enclosed herewith for your information and record purpose.

Thanking You

Yours Faithfully,

[REDACTED]

Name: -
PAN No.: -

**TO BE PROVIDED ONLY BY EXISTING KOTAK BANK ACCOUNT HOLDERS
(MANDATE LETTER)**

Dated: - _____

To,
Kotak Mahindra Bank Limited
Mumbai.

Dear Sirs,

Sub: Linking of my bank account(s) with Trading Account bearing trading code _____ and facilitating other investments through my bank account

This is to inform you (the bank) that I/We _____
residing at/having our office at _____

_____ holding bank account no _____
with Kotak Mahindra Bank Limited (KMBL/ the bank). I/We have opened securities Trading and / or Demat account with Kotak Securities Limited (KSL). For the purpose of facilitating my/ our securities transactions smoothly through KSL and for meeting settlement obligations / margin requirement and / or for recovering any outstanding amount due in connection with the trades executed by me / us through KSL and / or for meeting obligations arising out of any subscription to such other products/facilities/services through KSL like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc and / or further towards monies/ fees/charges due from me / us to KSL (in its capacity as a stock broker and/or depository participant) arising out of the services availed by me / us relating to stock broking, depository and other financial services through KSL as well as invest in Mutual Funds, PMS, AIF's, Venture Capital Funds, SGB's, Corporate FD's, any and all such investments etc on my behalf, I/ We hereby authorise the bank to carry out following acts, matters and thing pertaining to above mentioned account no. held by us/ me with KMBL and further agrees, confirms and consent to / that;

- a) Revoke all authorization and / or any POA earlier given by me / us and registered with the bank, if any.
- b) Link my said bank account for Trading Account maintained by me/us with KSL.
- c) Pay on first demand from KSL without any demur, protest or contestation and without any reference to me / us pay to KSL such sum as may be demanded by KSL.
- d) The decision of KSL, towards my / our obligations or liabilities or commitments shall be final and binding on me / us and any demand made on the Bank by KSL shall be conclusive as regards the amount due and payable by me / us.
- e) This mandate letter shall be revoked only with the prior consent of KSL in writing.
- f) Execute instructions received through KSL in any form and manner as prescribed by the Bank from time to time including but not limited to Net banking, Payment Gateway, Phone Banking, Electronic mails, Facsimile and further Bank is entitled to transfer funds in any form and manner including but not limited to by way of debit/credit of my/our said bank account(s), and issue pay-orders/demand drafts/bankers cheques, wire transfer etc, from my/our account to honour all instructions given by KSL as aforesaid
- g) Any disputes arising out of transactions between us and KSL shall be resolved between us mutually and that I shall not raise it with KMBL and shall not send any contrary instructions to KMBL with respect to the bank account.
- h) I / we hereby indemnify and agree to keep indemnified and hold KMBL, its directors and employees saved, harmless and defended for all times hereafter from and against all losses, claims, legal proceedings, actions, demands, risks, charges, taxes, duties, damages, costs, expenses, including attorney and legal fees, and penalties etc. which may be incurred or suffered, taken or made against or arise against KMBL by reason of it acceding to and acting in accordance with my/our request.
- i) KMBL shall have a prior charge on the balances maintained in the account in respect of any amounts due and payable to it
- j) All terms and conditions as applicable to the bank account with KMBL shall continue to be applicable

Debit Authorization

I/We authorize you to debit my/our Saving/Current account No. _____ (said bank account) as above and pay to KSL.

Further, kindly debit an amount of Rs. _____ towards trading account opening charges and Rs. _____ towards margin money and pay to KSL.

In case the initial attempt to debit my/our Savings/Current account fails due to any reason, I/We authorize you to continue the attempt to debit my/our Savings/Current account till successful debit from my/our Savings/Current account"

I/We hereby authorize KSL to obtain my/our Bank account statement from KMBL bank account linked with KSL on a periodic basis for the purpose of updating my/our financial details and I/We have no objection to KMBL for sharing my/ our Bank account statement with KSL. ☐ Yes ☐ No

Bank Account No. _____ CRN No.: _____

(Required only for Direct Access and not for Gateway Access).

DP Client ID: _____

Thanking You

Name & Sign (1st Holder)

Name _____





Name & Sign (2nd Holder)

Name _____

Name & Sign (3rd Holder)

Name _____

**Strike off if not applicable.*

Multiple Nomination Form															Query ID									
FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)															Trading Code / UCC									
Date		D	D	M	M	Y	Y	Y	Y						DP ID		I	N	3	0	0	2	1	4
Client ID																								
I / We wish to make a nomination. [As per details given below]																								
Nomination Details																								
<input type="checkbox"/> I / We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																								
Nomination can be made upto three nominees in the account.										Details of 1 st Nominee					Details of 2 nd Nominee					Details of 3 rd Nominee				
1		Name of the nominee(s) (Mr./Ms.)																						
2		Share of each Nominee		Equally [If not equally, Please specify Percentage]						%					%					%				
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																								
3		Relationship with the Applicant (If Any)																						
4		Address of Nominee(s) City / Place : State & Country :																						
		PIN Code																						
5		Mobile/ Telephone No. of nominee(s) #																						
6		Email ID of nominee(s) #																						
7		Nominee Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																						
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																								
8		Date of Birth (in case of minor nominee(s))																						
9		Name of Guardian (Mr./ Ms.) {in case of minor nominee(s)}																						
10		Address of Guardian(s) City / Place : State & Country :																						
		PIN Code																						
11		Mobile/ Telephone No. of Guardian(s) #																						
12		Email ID of Guardian(s) #																						
13		Relationship of Guardian with nominee																						
14		Guardian Identification details # [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																						
Name(s) of holder(s)															Signature(s) of holder									
Sole / First Holder (Mr./Ms.)																								
Second Holder (Mr./Ms.)																								
Third Holder (Mr./Ms.)																								
* Mandatory details of witness required for Nomination in case the account holder affixes thumb impression, instead of signature.																								
# Optional Fields (Information required at Serial Nos. 5,6,7,11,12, & 14 is not mandatory)																								
* Mandatory details of witness required for Nomination in case the account holder affixes thumb impression, instead of signature.																								
Name of the Witness										Address of the Witness										Signature of the Witness				
																								


Date

ACKNOWLEDGEMENT

Nomination Form

From

having Trading Code

Query ID
Client ID




Your request will be processed within a tentative period of 7 days from the date of receipt or complete documents. In case of queries regarding the status of the request, We request you to call on **Customer Service No. 1800 209 9191**. Demat related complaints write at ks.demat@kotak.com


For any other queries or complaints write at service.securities@kotak.com

Kotak Infinity, 8th Floor, Bldg. No. 21, Infinity Park, Off Western Express Highway, Gen A.K. Vaidya Marg, Malad (E), Mumbai - 400 097 Tel.: 91-22-4285 6825

Declaration Form for opting out of nomination

Kotak Infinity, 8th Floor, Bldg. No. 21, Infinity Park, Off Western Express Highway, Goregaon-Mulund Link Road, Malad (E) , Mumbai - 400 097 ✆ 4285 6825		Date		D	D	M	M	Y	Y	Y	Y
		Query ID									
		Trading Code / UCC									
		DP ID	I	N	3	0	0	2	1	4	
Client ID (only for Demat account)											
Name(s) of holder(s)											
Sole / First Holder Name											
Second Holder Name											
Third Holder Name											
<input type="checkbox"/> I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.											

Signature(s) of holder	
Sole / First Holder (Mr./Ms.)	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

* Mandatory details of witness required for Nomination in case the account holder affixes thumb impression, instead of signature.		
Name of the Witness	Address of the Witness	Signature of the Witness
		

Notes :

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals including society, trust, body corporate, partnership firm and Hindu Undivided Family, holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- Only individual / natural person(s) can be a nominee(s). The Nominee(s) shall not be artificial person created/dressed by the law or by a fiction such as trust, society, body corporate, partnership firm, Hindu Undivided Family., etc. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals including society, trust, body corporate partnership firm and Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
- On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.
- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)



Date

D	D	M	M	Y	Y	Y	Y
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ACKNOWLEDGEMENT

Declaration Form for opting out of nomination

From

having Trading Code

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Query ID

Client ID

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Details of Statutory/Regulatory charges

Charges	Equity Intraday/Delivery	Equity Futures/Options	Currency Futures/Options	Commodity Futures/Options
GST	18% on total value of brokerage + transaction charges + SEBI fees			
Securities Transaction Tax/Commodity Transaction tax	0.025% (sell side)/0.1% (both-sides)	0.0125% (sell side)/0.0625%(sell-side on premium)	Nil	0.01% (sell-side)/0.05% (sell-side)
Transaction charges*	NSE:0.00335%/BSE: 0.00375%	NSE: 0.002% /0.0505% on Premium BSE : 0 %/0.005% (on premium)	NSE: 0.00095% BSE: 0.00022%/NSE: 0.037% BSE: 0.001%	MCX (for Agri &Non Agri): 0.0026% NCDEX: 0.006%/0.05% for MCX &0 for NCDEX
Stamp charges	0.003% or Rs.300 per crore on buy-side /0.015%or Rs.1500 per crore on buy-side	0.002% or Rs.200 per crore on buy-side /0.003% or Rs.300 on buy- side	0.0001% or Rs.10 per crore on buy-side	0.002% or Rs.200 per crore on buy-side /0.003% or Rs.300 per crore on buy-side
SEBI charges	Rs.10/crore	Rs.10/crore	Rs.10/crore	Agri: Rs.1/crore Non Agri: Rs.10/crore/ Commodity options : Rs.10 per crore

***Transaction charges** - The NSE transaction charges are inclusive of NSE IPFT charges (Investor Protection Fund Trust).