



# ACCOUNT OPENING FORM FOR INDIVIDUAL

## FOR CSO USE ONLY

|             |           |
|-------------|-----------|
| Form No.    |           |
| Client Code |           |
| DP ID       |           |
| Branch Code |           |
| AP Code     |           |
| Ver: 4.3    | July 2026 |

## EQUITY & COMMODITY B2B & B2C

|                  |                                                              |
|------------------|--------------------------------------------------------------|
| Application Type | <input type="checkbox"/> New <input type="checkbox"/> Update |
| KYC Number       |                                                              |

# INDEX OF DOCUMENTS

| S. No.                                                | Name of the Document                                                 | Brief Significance of the Document                                                                                                                                                                                                                     | Page No.                 |
|-------------------------------------------------------|----------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|
| MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES |                                                                      |                                                                                                                                                                                                                                                        |                          |
| 1.                                                    | KRA Form and Account Opening Form                                    | A. KYC Form - Document captures the basic information about the constituent and an instruction/check list.                                                                                                                                             | 1 to 5                   |
|                                                       |                                                                      | B. Document captures the additional information about the constituent relevant to Trading/ Demat account & an instruction/check list.                                                                                                                  |                          |
| 2.                                                    | Tariff sheet                                                         | Document detailing the rate/amount of brokerage & other charges levied on the client for trading on exchange(s) & DP Service charges/Fee Structure                                                                                                     | 10 to 11                 |
| 3.                                                    | A Client Declaration - Open Interest Position                        | A Client Declaration - Open Interest Position                                                                                                                                                                                                          | 12                       |
| 4.                                                    | Policies and Procedures                                              | Document describing significant policies and procedures of the stock broker                                                                                                                                                                            | SEPARATE COPY FOR CLIENT |
| 5.                                                    | Rights and Obligations                                               | Document stating the Rights & Obligations of stock broker/trading member, Authorised Person and client for trading on equity and commodity exchange (including additional rights & obligations in case of internet/wireless technology based trading). |                          |
| 6.                                                    | Risk Disclosure Document (RDD)                                       | Document detailing risks associated with dealing in the securities & commodities market.                                                                                                                                                               |                          |
| 7.                                                    | Guidance note                                                        | Document detailing do's and don'ts for trading on exchange, for the education of the investors.                                                                                                                                                        |                          |
| 8.                                                    | Rights & Obligations of Beneficial Owners & Depository Participants: | Document stating the Rights & Obligations of Beneficial Owners and Depository Participants.                                                                                                                                                            |                          |
| 9.                                                    | Most Important Terms and Conditions                                  | Authorisation to maintain Running Account Consent for ECN declaration                                                                                                                                                                                  | 13                       |
| 10.                                                   | Policy on Handling of Good                                           | Till Cancelled Orders of Client                                                                                                                                                                                                                        | 14                       |
| VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER   |                                                                      |                                                                                                                                                                                                                                                        |                          |
| 1.                                                    | Voluntary Terms & Conditions                                         | Additional terms & conditions specific to clients for the purpose of operational efficiency.                                                                                                                                                           | 15 to 18                 |
| 2.                                                    | Research Analyst / MITC                                              | Terms and Conditions                                                                                                                                                                                                                                   | 18 to 24                 |
| 3.                                                    | Rights and Obligations - MTF                                         | Rights and obligations relating to margin trading facility provided To client                                                                                                                                                                          | 24 to 28                 |
| 4.                                                    | Nomination Form, Nominee opt out Form and DDPI                       | Nominee details for Trading and Demat Account / Consent for Nominee opt out / Margin purpose / Demat Debit & Pledge Instruction                                                                                                                        | 29 to 32                 |
| 5.                                                    | ANNEXURE A                                                           | INVESTOR CHARTER IN RESPECT OF Ras                                                                                                                                                                                                                     | 33 to 34                 |

## IMPORTANT NOTE

### 1. Signature Types:

|                                                                                              |                                    |                                                                                               |                                |                                                                                                 |                             |
|----------------------------------------------------------------------------------------------|------------------------------------|-----------------------------------------------------------------------------------------------|--------------------------------|-------------------------------------------------------------------------------------------------|-----------------------------|
|  <b>FH</b> | Signature of Client / First Holder |  <b>SH</b> | Signature of Second Holder     |  <b>TH</b>   | Signature of Third Holder   |
|  <b>G</b>  | Signature of Guardian              |  <b>X</b>  | Authorised Signatory of Member |  <b>FW</b>   | Signature of First Witness  |
|                                                                                              |                                    |                                                                                               |                                |  <b>SW</b> | Signature of Second Witness |

2. In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature

## 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, Please 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) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- H) List of two character ISO 3166 country codes is available at the end.
- I) KYC number of applicant is mandatory for update application.
- J) 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

## KYC CHECKLIST (PLEASE TICK WHEREVER APPROPRIATE)

| Acceptable Documents (Copies of all documents to be self attested)                                     |                                                                                         | Please Tick                                                                                                  |
|--------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------|
| PAN Card                                                                                               | Account Holder & Joint Holder's (If any)                                                |                                                                                                              |
| Photograph                                                                                             | One Colored Front Face Photograph on photographic Paper (Passport Size)                 |                                                                                                              |
| Proof of Identity<br>(Any One)                                                                         | 1. Unique identification number (UID)(Aadhaar)                                          | <input type="checkbox"/> KRA document used<br><br>(Email Id & Phone number to be provided on given KRA Form) |
|                                                                                                        | 2. Valid Passport (Name, Address & Photo page)                                          |                                                                                                              |
|                                                                                                        | 3. Voter ID (front and back)                                                            |                                                                                                              |
|                                                                                                        | 4. Valid Driving License (Name, Address & Photo page)                                   |                                                                                                              |
|                                                                                                        | 5. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar. |                                                                                                              |
|                                                                                                        | 6. NREGA Job Card, National Population Register Letter                                  |                                                                                                              |
|                                                                                                        | 7. Other 1 (Pls. Specify) _____                                                         |                                                                                                              |
| Proof of Address<br>(Any One)<br><br>Permanent / Correspondence                                        | 1. Valid Passport (Name, Address & Photo page)                                          | <input type="checkbox"/> KRA document used                                                                   |
|                                                                                                        | 2. Voter ID (front and back)                                                            |                                                                                                              |
|                                                                                                        | 3. Valid Driving License (Name, Address & Photo page)                                   |                                                                                                              |
|                                                                                                        | 4. Unique identification number (UID)(Aadhaar)                                          |                                                                                                              |
|                                                                                                        | 5. Electricity Bill / Gas Bill (not more than 2 months old)                             |                                                                                                              |
|                                                                                                        | 6. Resident Landline Tel. Bill (not more than 2 months old)                             |                                                                                                              |
|                                                                                                        | 7. Registered Lease/Leave & License Agreement                                           |                                                                                                              |
|                                                                                                        | 8. NREGA Job Card, National Population Register Letter                                  |                                                                                                              |
|                                                                                                        | 9. Proof of Possession Aadhaar, E-KYC Authentication & Offline Verification of Aadhaar. |                                                                                                              |
| Bank Proof With MICR / IFSC Code (1st Holder only)                                                     | 1. Bank Statement / Bank Passbook with cheque leaf (not more than 3 months old)         |                                                                                                              |
|                                                                                                        | 2. Banker's Certificate on letter head of the Bank (ORIGINAL)                           |                                                                                                              |
|                                                                                                        | 3. Cancelled Personalized Cheque leaf                                                   |                                                                                                              |
| Demat Proof (Any One) (1st Holder only)                                                                | 1. Client Master (CML copy duly attested by DP)                                         |                                                                                                              |
|                                                                                                        | 2. DP Statement / Transaction cum Holding Statement                                     |                                                                                                              |
| Proof of Income (Any One)<br><br>(Mandatory for F&O / Currency / Commodity Segments) (1st Holder only) | 1. Copy of ITR Acknowledgement                                                          |                                                                                                              |
|                                                                                                        | 2. In case of salary income - Salary Slip, Copy of Form 16                              |                                                                                                              |
|                                                                                                        | 3. Net-worth certificate (Not more than 1 year old)                                     |                                                                                                              |
|                                                                                                        | 4. Copy of Demat Account Holding Statement                                              |                                                                                                              |
|                                                                                                        | 5. Bank Account Statement for last 6 months reflecting income                           |                                                                                                              |

### FATCA / CRS DECLARATION / SELF CERTIFICATION FOR INDIVIDUAL

|                                                              |                                |                                |  |                                |                                |  |                                |                                |  |  |  |  |
|--------------------------------------------------------------|--------------------------------|--------------------------------|--|--------------------------------|--------------------------------|--|--------------------------------|--------------------------------|--|--|--|--|
| Client Name                                                  |                                |                                |  |                                |                                |  |                                |                                |  |  |  |  |
|                                                              | First/Sole Holder              |                                |  | Second Holder (if any)         |                                |  | Third Holder (if any)          |                                |  |  |  |  |
| Are you U.S. Person?<br>(Refer KYC Handout - Customer Copy)  | <input type="checkbox"/> Yes   | <input type="checkbox"/> No    |  | <input type="checkbox"/> Yes   | <input type="checkbox"/> No    |  | <input type="checkbox"/> Yes   | <input type="checkbox"/> No    |  |  |  |  |
| Specify country of residence for tax purpose (Tax Residency) | <input type="checkbox"/> India | <input type="checkbox"/> Other |  | <input type="checkbox"/> India | <input type="checkbox"/> Other |  | <input type="checkbox"/> India | <input type="checkbox"/> Other |  |  |  |  |
| Specify country of citizenship                               | <input type="checkbox"/> India | <input type="checkbox"/> Other |  | <input type="checkbox"/> India | <input type="checkbox"/> Other |  | <input type="checkbox"/> India | <input type="checkbox"/> Other |  |  |  |  |

Note: If you are a U.S. person and / or if your tax residency / nationality / citizenship is other than India, then please provide declaration / self certification under FATCA / CRS. This declaration form can be downloaded from <http://www.angelone.in> or call at centralized helpdesk at 18001020 or write to [support@angelone.in](mailto:support@angelone.in)

(First/Sole Holder Signature)

(Second Holder Signature)

(Third Holder Signature)

**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, etc. or self declaration, 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':

**Document Code Description**

- 1 Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
- 2 Property or Municipal tax receipt.
- 3 Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
- 4 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.
- 10 RES may use the Self Declaration check box where Aadhaar authentication has been carried out successfully for a client and client wants to provide a current address, different from the address as per the identity information available in the Central Identities Data Repository

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

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

**D Clarification / Guidelines on filling 'Related Person details' section**

- 1 Provide KYC number of related person, if available.

**E Clarification on Minor**

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

Differently Abled Status Yes ☐ No ☐**1. Type of Disability Values:**

|                                               |                                                  |                                                         |                                                          |
|-----------------------------------------------|--------------------------------------------------|---------------------------------------------------------|----------------------------------------------------------|
| Blindness <input type="checkbox"/>            | Cerebral Palsy <input type="checkbox"/>          | Acid Attract Victims <input type="checkbox"/>           | Multiple Sclerosis <input type="checkbox"/>              |
| Low Vision <input type="checkbox"/>           | Intellectual Disability <input type="checkbox"/> | Sickle Cell Disease <input type="checkbox"/>            | Specific Learning Disabilities <input type="checkbox"/>  |
| Hearing Impairment <input type="checkbox"/>   | Mental Illness <input type="checkbox"/>          | Hemophilia <input type="checkbox"/>                     | Chronic Neurological Conditions <input type="checkbox"/> |
| Locomotor Disability <input type="checkbox"/> | Muscular Dystrophy <input type="checkbox"/>      | Thalassemia <input type="checkbox"/>                    | Autism Spectrum Disorder <input type="checkbox"/>        |
| Leprosy Cured <input type="checkbox"/>        | Parkinson's Disease <input type="checkbox"/>     | Speech and Language Disability <input type="checkbox"/> | Dwarfism <input type="checkbox"/>                        |

Percentage of Impairment  %UDID Number FH 

(First/Sole Holder Signature)

SH 

(Second Holder Signature)

TH 

(Third Holder Signature)

## List of two- digit state / U.T codes as per Indian MotorVehicle Act, 1988

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

## List of ISO3166 two - digit Country Code

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

Know Your Client (KYC)  
Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked\* are pertaining to CKYC and mandatory only if processing CKYCalso



CDSL VENTURES LIMITED  
...Exploring New Horizons



Application Number:

FIRST HOLDER

Application Type\*: ☐ New KYC

☐ Modification KYC

KYC Mode\*: Please Tick(✓)

☐ Normal

☐ EKYC OTP

☐ EKYC Biometric

☐ Online KYC

☐ Offline EKYC

☐ Digilocker

☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

Prefix \_\_\_\_\_

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

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

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

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

Date of Birth\* \_\_\_\_\_

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

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

Marital Status\* ☐ Married ☐ Unmarried ☐ Others \_\_\_\_\_

Residential Status\* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin

Nationality\* ☐ Indian ☐ Others

PHOTO

Signature / Thumb Impression

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

(Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

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

I ☐ A- Passport Number \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date DD - MM - YY YY YY YY

☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ G- Others \_\_\_\_\_

☐ H- National Population Register Letter \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ I- Proof of Possession of Aadhar \_\_\_\_\_

II ☐ E-KYC Authentication \_\_\_\_\_

III ☐ Offline verification of Aadhar \_\_\_\_\_

Address \_\_\_\_\_

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

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

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

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

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

3. CURRENT ADDRESS DETAILS ( Please refer instructions B at the end )

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

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

I ☐ A- Passport Number \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date DD - MM - YY YY YY YY

☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ G- Others \_\_\_\_\_

☐ H- National Population Register Letter \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ I- Proof of Possession of Aadhar \_\_\_\_\_

II ☐ E-KYC Authentication \_\_\_\_\_

III ☐ Offline verification of Aadhar \_\_\_\_\_

## Address

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

☐ 4. CORRESPONDENCE / LOCAL ADDRESS DETAILS \*(Please see instruction B at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

 I ☐ A- Passport Number \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_

 Driving Licence Expiry Date DD - MM - YY YY
☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ G- Others \_\_\_\_\_

☐ H- National Population Register Letter \_\_\_\_\_

Identification Number \_\_\_\_\_

☐ I- Proof of Possession of Aadhar \_\_\_\_\_

 II ☐ E-KYC Authentication \_\_\_\_\_

 III ☐ Offline verification of Aadhar \_\_\_\_\_

## Address

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

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off) \_\_\_\_\_ Tel. (Res) \_\_\_\_\_ Mobile \_\_\_\_\_  
 FAX \_\_\_\_\_ Email ID \_\_\_\_\_

☐ REMARKS (If any)

## 6. Applicant Declaration

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

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

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

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

PLACE: \_\_\_\_\_ DATE: \_\_\_\_\_ (DD-MM-YYYY)

Applicant e- SIGN

Applicant Wet Signature

## 7. For Office Use Only

Documents Received ☐ Digital KYC Process ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification  
☐ Certified Copies ☐ Equivalent e-documents ☐ Video based KYC

## In-Person Verification (IPV) carried out by\*

## Intermediary Details\*

Date DD - MM - YY YY  
 Emp. Name \_\_\_\_\_  
 Emp. Code \_\_\_\_\_  
 Emp. Designation \_\_\_\_\_  
 Emp. Branch \_\_\_\_\_

☐ Self certified document copies received (OVD)  
☐ True Copies of documents received (Attested)

AMC / Intermediary Name :

\_\_\_\_\_



Know Your Client (KYC)  
Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked\* are pertaining to CKYC and mandatory only if processing CKYCalso



CDSL VENTURES LIMITED  
...Exploring New Horizons



Application Number:

SECOND HOLDER

Application Type\*: ☐ New KYC

☐ Modification KYC

KYC Mode\*: Please Tick(✓)

☐ Normal

☐ EKYC OTP

☐ EKYC Biometric

☐ Online KYC

☐ Offline EKYC

☐ Digilocker

☐ 1. PERSONAL DETAILS (Please refer instruction A at the end)

|                                                   |                                              |                                                                           |
|---------------------------------------------------|----------------------------------------------|---------------------------------------------------------------------------|
| <input type="checkbox"/> Name* (Same as ID proof) | Prefix                                       |                                                                           |
| (If any*) Maiden Name                             |                                              |                                                                           |
| Father / Spouse Name                              |                                              |                                                                           |
| Mother Name                                       |                                              |                                                                           |
| Date of Birth*                                    |                                              |                                                                           |
| PAN*                                              |                                              |                                                                           |
| Gender*                                           | <input type="checkbox"/> M- Male             | <input type="checkbox"/> F- Female <input type="checkbox"/> T-Transgender |
| Marital Status*                                   | <input type="checkbox"/> Married             | <input type="checkbox"/> Unmarried <input type="checkbox"/> Others        |
| Residential Status*                               | <input type="checkbox"/> Resident Individual | <input type="checkbox"/> Non Resident Indian                              |
|                                                   | <input type="checkbox"/> Foreign National    | <input type="checkbox"/> Person of Indian Origin                          |
| Nationality*                                      | <input type="checkbox"/> Indian              | <input type="checkbox"/> Others                                           |

PHOTO

Signature / Thumb Impression

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

(Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

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

|         |                                                                 |                             |                                          |
|---------|-----------------------------------------------------------------|-----------------------------|------------------------------------------|
| I       | <input type="checkbox"/> A- Passport Number                     |                             |                                          |
|         | <input type="checkbox"/> B- Voter ID Card                       |                             |                                          |
|         | <input type="checkbox"/> C- PAN Card                            |                             |                                          |
|         | <input type="checkbox"/> D- Driving Licence                     | Driving Licence Expiry Date | DD - MM - YYYY                           |
|         | <input type="checkbox"/> E- UID (Aadhaar)                       |                             |                                          |
|         | <input type="checkbox"/> F- NREGA Job Card                      |                             |                                          |
|         | <input type="checkbox"/> G- Others                              |                             |                                          |
|         | <input type="checkbox"/> H- National Population Register Letter | Identification Number       |                                          |
|         | <input type="checkbox"/> I- Proof of Possession of Aadhar       |                             |                                          |
| II      | <input type="checkbox"/> E-KYC Authentication                   |                             |                                          |
| III     | <input type="checkbox"/> Offline verification of Aadhar         |                             |                                          |
| Address |                                                                 |                             |                                          |
|         | Line 1*                                                         |                             |                                          |
|         | Line 2                                                          |                             |                                          |
|         | Line 3                                                          | City / Town / Village*      |                                          |
|         | District*                                                       | Pin / Post Code*            | State / U.T Code* ISO 3166 Country Code* |
|         | State*                                                          | Country*                    |                                          |

3. CURRENT ADDRESS DETAILS ( Please refer instructions B at the end )

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

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

|     |                                                                 |                             |                |
|-----|-----------------------------------------------------------------|-----------------------------|----------------|
| I   | <input type="checkbox"/> A- Passport Number                     |                             |                |
|     | <input type="checkbox"/> B- Voter ID Card                       |                             |                |
|     | <input type="checkbox"/> C- PAN Card                            |                             |                |
|     | <input type="checkbox"/> D- Driving Licence                     | Driving Licence Expiry Date | DD - MM - YYYY |
|     | <input type="checkbox"/> E- UID (Aadhaar)                       |                             |                |
|     | <input type="checkbox"/> F- NREGA Job Card                      |                             |                |
|     | <input type="checkbox"/> G- Others                              |                             |                |
|     | <input type="checkbox"/> H- National Population Register Letter | Identification Number       |                |
|     | <input type="checkbox"/> I- Proof of Possession of Aadhar       |                             |                |
| II  | <input type="checkbox"/> E-KYC Authentication                   |                             |                |
| III | <input type="checkbox"/> Offline verification of Aadhar         |                             |                |



## Address

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

☐ 4. CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction B at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

 I ☐ A- Passport Number \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_

 Driving Licence Expiry Date DD - MM - YY YY
☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ G- Others \_\_\_\_\_

☐ H- National Population Register Letter \_\_\_\_\_

Identification Number \_\_\_\_\_

☐ I- Proof of Possession of Aadhar \_\_\_\_\_

 II ☐ E-KYC Authentication \_\_\_\_\_

 III ☐ Offline verification of Aadhar \_\_\_\_\_

## Address

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

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction C at the end)

Tel. (Off) \_\_\_\_\_ Tel. (Res) \_\_\_\_\_ Mobile \_\_\_\_\_  
 FAX \_\_\_\_\_ Email ID \_\_\_\_\_

☐ REMARKS (If any)

## 6. Applicant Declaration

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

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

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

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

PLACE: \_\_\_\_\_ DATE: \_\_\_\_\_ (DD-MM-YYYY)

## Applicant e- SIGN

## Applicant Wet Signature

## 7. For Office Use Only

Documents Received ☐ Digital KYC Process ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification  
☐ Certified Copies ☐ Equivalent e-documents ☐ Video based KYC

## In-Person Verification (IPV) carried out by\*

## Intermediary Details\*

Date DD - MM - YY YY  
 Emp. Name \_\_\_\_\_  
 Emp. Code \_\_\_\_\_  
 Emp. Designation \_\_\_\_\_  
 Emp. Branch \_\_\_\_\_

☐ Self certified document copies received (OVD)  
☐ True Copies of documents received (Attested)

AMC / Intermediary Name :

\_\_\_\_\_



Know Your Client (KYC)  
Application Form (For Individuals Only)

Please fill the form in ENGLISH and in BLOCK letters

Fields marked \* are mandatory

Fields marked\* are pertaining to CKYC and mandatory only if processing CKYCalso



CDSL VENTURES LIMITED  
...Exploring New Horizons



Application Number:

THIRD HOLDER

Application Type\*: ☐ New KYC

☐ Modification KYC

KYC Mode\*: Please Tick(✓)

☐ Normal

☐ EKYC OTP

☐ EKYC Biometric

☐ Online KYC

☐ Offline EKYC

☐ Digilocker

1. PERSONAL DETAILS (Please refer instruction A at the end)

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

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

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

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

Date of Birth\* \_\_\_\_\_

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

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

Marital Status\* ☐ Married ☐ Unmarried ☐ Others \_\_\_\_\_

Residential Status\* ☐ Resident Individual ☐ Non Resident Indian

☐ Foreign National ☐ Person of Indian Origin

Nationality\* ☐ Indian ☐ Others

PHOTO

Signature / Thumb Impression

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

(Certified copy of any one of the following Proof of Identity[Pol] needs to be submitted)

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

I ☐ A- Passport Number \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date DD - MM - YY YY

☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ G- Others \_\_\_\_\_

☐ H- National Population Register Letter \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ I- Proof of Possession of Aadhar \_\_\_\_\_

II ☐ E-KYC Authentication \_\_\_\_\_

III ☐ Offline verification of Aadhar \_\_\_\_\_

Address \_\_\_\_\_

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

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

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

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

State\* \_\_\_\_\_ Country\* \_\_\_\_\_

3. CURRENT ADDRESS DETAILS ( Please refer instructions B at the end )

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

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

I ☐ A- Passport Number \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_ Driving Licence Expiry Date DD - MM - YY YY

☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ G- Others \_\_\_\_\_

☐ H- National Population Register Letter \_\_\_\_\_ Identification Number \_\_\_\_\_

☐ I- Proof of Possession of Aadhar \_\_\_\_\_

II ☐ E-KYC Authentication \_\_\_\_\_

III ☐ Offline verification of Aadhar \_\_\_\_\_

## Address

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

☐ 4. CORRESPONDENCE / LOCAL ADDRESS DETAILS \* (Please see instruction B at the end)

☐ Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1')

 I ☐ A- Passport Number \_\_\_\_\_

☐ B- Voter ID Card \_\_\_\_\_

☐ C- PAN Card \_\_\_\_\_

☐ D- Driving Licence \_\_\_\_\_

 Driving Licence Expiry Date DD - MM - YY YY
☐ E- UID (Aadhaar) \_\_\_\_\_

☐ F- NREGA Job Card \_\_\_\_\_

☐ G- Others \_\_\_\_\_

☐ H- National Population Register Letter \_\_\_\_\_

Identification Number \_\_\_\_\_

☐ I- Proof of Possession of Aadhar \_\_\_\_\_

 II ☐ E-KYC Authentication \_\_\_\_\_

 III ☐ Offline verification of Aadhar \_\_\_\_\_

## Address

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

☐ 5. CONTACT DETAILS (All communications will be sent on provided Mobile no. / Email-ID) (Please refer instruction C at the end)

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

Tel. (Res) \_\_\_\_\_

Mobile \_\_\_\_\_

FAX \_\_\_\_\_

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

☐ REMARKS (If any)

## 6. Applicant Declaration

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

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

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

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

PLACE: \_\_\_\_\_ DATE: \_\_\_\_\_ (DD-MM-YYYY)

Applicant e- SIGN

Applicant Wet Signature

## 7. For Office Use Only

Documents Received ☐ Digital KYC Process ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification  
☐ Certified Copies ☐ Equivalent e-documents ☐ Video based KYC

## In-Person Verification (IPV) carried out by\*

## Intermediary Details\*

 Date DD - MM - YY YY

Emp. Name \_\_\_\_\_

Emp. Code \_\_\_\_\_

Emp. Designation \_\_\_\_\_

Emp. Branch \_\_\_\_\_

☐ Self certified document copies received (OVD)

☐ True Copies of documents received (Attested)

AMC / Intermediary Name :



## TRADING & DEMAT ACCOUNT RELATED DETAILS

TYPE OF ACCOUNT : ☒ Individual

Sub Status

☐ Resident

☐ Other

**A. BANK ACCOUNT DETAILS - Payin / Payout of funds will be routed through the said bank account only**

Bank Name, Branch and Address:

Account No.

☐ Savings

☐ Current

MICR Code

IFSC Code

**B. DEPOSITORY ACCOUNT DETAILS (DPI DETAILS CONSIDERED FOR PAYOUT OF SECURITIES IF FILLED)**

|                  | DP 1 Details                                                | DP 2 Details                                                |
|------------------|-------------------------------------------------------------|-------------------------------------------------------------|
| Depository Name  | <input checked="" type="checkbox"/> CDSL                    | <input type="checkbox"/> CDSL <input type="checkbox"/> NSDL |
| DP Name          | Angel One Ltd                                               |                                                             |
| Beneficiary Name |                                                             |                                                             |
| DP ID            | 12033200, 12033201, 12033202, 12033203, 12033204 & 12033205 |                                                             |
| BO ID            |                                                             |                                                             |

Pledge instruction - I / We would like to instruct the DP to accept all the pledge instructions in my / our account without any other further instruction from my / our end.

☐ Yes

☐ No

"I / We instruct the DP to receive each and every credit in my / our account (If not marked, the default option would be 'Yes') [Automatic Credit]"

☐ Yes

☐ No

**C. MODE OF OPERATION FOR EXECUTION OF TRANSACTIONS (Transfer, Pledge & Freeze)**

|                                                                                                                                                                         |                                                                                                                        |          |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------|----------|
| <input type="checkbox"/> Jointly                                                                                                                                        | <input type="checkbox"/> Anyone of the Holder                                                                          |          |
| Consent for Communication to be received by first account holder/ all Account holder: (Tick the applicable box. If not marked the default option would be first holder. |                                                                                                                        |          |
| <input type="checkbox"/> First Holder                                                                                                                                   | <input type="checkbox"/> All Holder<br><input type="checkbox"/> Second Holder<br><input type="checkbox"/> Third Holder | Email id |

**D. TRADING PREFERENCES**

Please sign in the relevant boxes where you wish to trade.  
Please strike off the segment not chosen by you.

|              |                        |       |          |      |                            |
|--------------|------------------------|-------|----------|------|----------------------------|
| Exchanges    | NSE, BSE & MSEI        |       |          |      | MCX<br>NCDEX,<br>BSE & NSE |
| All Segments | Cash/<br>Mutal<br>Fund | F & O | Currency | Debt | Commodity<br>Derivatives   |
|              |                        |       |          |      |                            |

If you do not wish to trade in any of segments/ Mutual Fund, please mention here \_\_\_\_\_

\_\_\_\_\_

| D. STANDING INSTRUCTIONS / AUTHORIZATION FROM THE CLIENT                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------|
| Contract Note/Holding & Transaction Statement including CAS/Other Documents* (For ECN in commodity segment, please refer pg. no. 9)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input type="checkbox"/> Electronic <input type="checkbox"/> Physical                                                                                                                                                                                                                                                                                                                                      |                   |
| Receive Delivery Instruction Slip                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             | <input type="checkbox"/> No <input type="checkbox"/> Yes                                                                                                                                                                                                                                                                                                                                                   |                   |
| Share Email ID with Registrar & Transfer Agent                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | <input type="checkbox"/> No <input type="checkbox"/> Yes                                                                                                                                                                                                                                                                                                                                                   |                   |
| Receive Annual Report                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/> Electronic <input type="checkbox"/> Physical <input type="checkbox"/> Both                                                                                                                                                                                                                                                                                                        |                   |
| DP Account Statement                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | <input type="checkbox"/> As per SEBI Regulation                                                                                                                                                                                                                                                                                                                                                            |                   |
| Declaration for Mobile Number                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent                                                                                                                                                                                                                                                                               |                   |
| Declaration for Email ID                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> Self <input type="checkbox"/> Spouse <input type="checkbox"/> Child <input type="checkbox"/> Parent<br><input type="checkbox"/> Do not have                                                                                                                                                                                                                                       |                   |
| Settlement Preference                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Bill to Bill                                                                                                                                                                                                                                                                                                  |                   |
| Whether you wish to avail of the facility of internet trading / wireless technology ( please specify)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | <input type="checkbox"/> Yes <input type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                   |                   |
| Margin Trading Facility ( Refer Rights & Obligation document)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 | <input type="checkbox"/> Yes <input type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                   |                   |
| SMS Alert Facility - Ensure that the mobile number is provided in the KYC Application Form.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | <input type="checkbox"/> Yes <input type="checkbox"/> No                                                                                                                                                                                                                                                                                                                                                   |                   |
| <p>Note:</p> <p>1. Divided / Interest will be credited to designated bank account via ECS.</p> <p>2. In case client doesn't opt for DIS booklet, it would be issued on request at any later date.</p> <p>3. BO can view his ISIN balances, transactions &amp; value portfolio online. To register for Easi please visit website <a href="http://www.cdslindia.com">www.cdslindia.com</a></p> <p>4. *Other documents includes SEBI prescribed standard documents i.e. Rights &amp; Obligation documents for trading and depository account, Risk Disclosure Document &amp; Guidance Note or any other communication / document disseminated by Angel One.</p> <p>5. Angel may carry out proprietary trades in addition to cliental trades.</p> |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
| E. INFORMATION FOR PREVENTION OF MONEY LAUNDERING ACT, 2002                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
| Experience                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Number of years of Investment / Trading Experience                                                                                                                                                                                                                                                                                                                                                         |                   |
| Gross Annual Income                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | <input type="checkbox"/> Below 1 lac <input type="checkbox"/> 1-5 Lacs <input type="checkbox"/> 5-10 Lacs <input type="checkbox"/> 10-25 Lacs <input type="checkbox"/> >25 Lacs <input type="checkbox"/> >1 Crore                                                                                                                                                                                          |                   |
|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | OR Net Worth in ₹ (*Net worth should not be older than 1 year) as on date DD / MM / YYYY                                                                                                                                                                                                                                                                                                                   |                   |
| Occupation (Please tick)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | <input type="checkbox"/> Govt Service <input type="checkbox"/> Professional <input type="checkbox"/> Private Sector Service<br><input type="checkbox"/> Public Sector <input type="checkbox"/> Business <input type="checkbox"/> Retired <input type="checkbox"/> Agriculturist<br><input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others (Pls Specify) _____ |                   |
| Nature of Business                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <input type="checkbox"/> Manufacturing <input type="checkbox"/> Services <input type="checkbox"/> Trading<br><input type="checkbox"/> Consultancy <input type="checkbox"/> Others _____                                                                                                                                                                                                                    |                   |
| Client Category<br>Commercial participant<br>Noncommercial participant                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        | <input type="checkbox"/> Value chain participant <input type="checkbox"/> Exporter <input type="checkbox"/> Importer <input type="checkbox"/> Hedger<br><input type="checkbox"/> Financial participant <input type="checkbox"/> Trader <input type="checkbox"/> Arbitrager <input type="checkbox"/> Other                                                                                                  |                   |
| Is the Client Politically Exposed Person (PEP) or Related to a PEP<br><input type="checkbox"/> PEP <input type="checkbox"/> Related to PEP <input type="checkbox"/> Not a PEP / RPEP                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
| F. PAST ACTIONS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
| Details of any action / proceedings initiated / pending / taken by SEBI / Exchanges / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities / commodities during the last 3 years:                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
| <input type="checkbox"/> No <input type="checkbox"/> If yes, please specify                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
| G. GST REGISTRATION DETAILS                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                            |                   |
| Registration No                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               | Validity Date                                                                                                                                                                                                                                                                                                                                                                                              | Name of the State |
| GSTIN No:                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | DD / MM / YYYY                                                                                                                                                                                                                                                                                                                                                                                             |                   |

Note: In case of any correction in the form - Sign next to the correction done & Sign has to match the original signature

## H. DEALING THROUGH OTHER STOCK BROKERS

If Yes, please specify whether dealing with any other stock broker (if case dealing with multiple stock brokers, provide details of all)

Name of Stock Broker

Name of Exchange

Client Code (as given by other broker)

Details of disputes/dues pending from/to such stock broker:

## I. INTRODUCER DETAILS

Status of Introducer ☐ AP ☐ Employee ☐ Existing Client ☐ Others (Specify):

Introducer Name:

AP/Emp/Client Code:

Address:

Mobile No:

Signature of the Introducer



## I. CLIENT DECLARATION

1. I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.

2. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

## Trading cum Demat Tariff for Individual- iTrade Premier Plus Plan

☒ **BSDA category**

☐ **Non BSDA category**

|                                                                                                                         | Holding Value upto<br>Rs. 4,00,000/-                                                                      | Holding Value more than Rs. 4,00,000/-<br>and upto Rs. 10,00,000/-                                     |                                                                                                        |
|-------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------|
| <b>DP AMC Charges</b>                                                                                                   | <b>Nil</b>                                                                                                | Free for 1 year<br>From 2nd year - 100/- p.a + Taxes.                                                  | Free for 1 year INR 60 per quarter for<br>Non-BSDA accounts from 2nd year<br>onwards.                  |
| <b>Equity Delivery</b>                                                                                                  | INR 20 or 0.1% whichever is<br>lower per executed order<br>(minimum brokerage of INR 5<br>will be levied) | INR 20 or 0.1% whichever is<br>lower per executed order (minimum<br>brokerage of INR 5 will be levied) | INR 20 or 0.1% whichever is<br>lower per executed order (minimum<br>brokerage of INR 5 will be levied) |
| <b>Intra-day</b>                                                                                                        | INR 20 or 0.1% whichever<br>is lower per executed order<br>(minimum brokerage of<br>INR 5 will be levied) | INR 20 or 0.1% whichever is lower<br>per executed order (minimum<br>brokerage of INR 5 will be levied) | INR 20 or 0.1% whichever is lower<br>per executed order (minimum<br>brokerage of INR 5 will be levied) |
| <b>Futures, Options, Commodity, Currency</b>                                                                            | INR 20 per executed order                                                                                 | INR 20 per executed order                                                                              | INR 20 per executed order                                                                              |
| <b>Call and Trade Charges</b>                                                                                           | <b>Rs. 20</b>                                                                                             | <b>Rs. 20</b>                                                                                          | <b>Rs. 20</b>                                                                                          |
| <b>Transaction charges for sell (Debit)<br/>&amp; Inter-settlement Debit per<br/>transaction ( Refer Note No. 6 a )</b> | <b>Rs. 20</b>                                                                                             | <b>Rs. 20</b>                                                                                          | <b>Rs. 20</b>                                                                                          |
| <b>Auto square off charges</b>                                                                                          | <b>Rs. 20</b>                                                                                             | <b>Rs. 20</b>                                                                                          | <b>Rs. 20</b>                                                                                          |
| <b>Pledge / Unpledge Creation/ Closure/<br/>Invocation ( Refer Note No. 6 b )</b>                                       | <b>Rs. 20</b>                                                                                             | <b>Rs. 20</b>                                                                                          | <b>Rs. 20</b>                                                                                          |
| <b>Demat/Remat (Per Certificate)</b>                                                                                    | <b>Rs. 50</b>                                                                                             | <b>Rs. 50</b>                                                                                          | <b>Rs. 50</b>                                                                                          |
| <b>Additional DIS requisition Additional<br/>Statement Physical Contract Note</b>                                       | <b>Rs. 50</b>                                                                                             | <b>Rs. 50</b>                                                                                          | <b>Rs. 50</b>                                                                                          |
| <b>Cheque Bounce Charges</b>                                                                                            | <b>Rs. 350</b>                                                                                            | <b>Rs. 350</b>                                                                                         | <b>Rs. 350</b>                                                                                         |
| <b>Delay Payment Charges (DPC) on<br/>outstanding bill amount if not<br/>paid within due date</b>                       | 1.5 % Per month (levied every<br>15 days) for normal trades.                                              | 1.5 % Per month (levied every 15 days) for<br>normal trades.                                           | 1.5 % Per month (levied every 15 days) for<br>normal trades.                                           |
| <b>Interest on outstanding dues under<br/>Margin Trading Facility (MTF)</b>                                             | 14.99% per annum (Levied every<br>15 days)                                                                | 14.99% per annum (Levied every 15 days)                                                                | 14.99% per annum (Levied every 15 days)                                                                |

### Notes :

1. Brokerage is levied per executed order across all segments. Brokerage is also charged on expired, exercised and assigned options contract. Brokerage levied to your trading account is subject to the maximum rates prescribed by the regulator (s) from time to time.
2. Stamp Duty, GST, Education Cess & Statutory Levies will be charged as applicable. Details of such charges are provided here-  
<https://www.angelone.in/exchange-transaction-charges>. The said levies are subject to statutory and regulatory changes, as notified by the Government/Regulators/Exchanges from time to time.
3. Above tariff is subject to change. Price Changes, if any, (other than statutory/regulatory price changes as stipulated in Point 2. above) will be notified 30 (thirty) days in advance.
4. For availing "Easiest" facility of CDSL, the charges as levied by CDSL would be collected from client at actuals
5. In case of BSDA, if there are no transactions in any quarter, no transaction statement will be sent for that quarter.
6. a) Depository Participant Charges: Rs 20 + GST, split as below  
Male: INR 3.5 (CDSL) + INR 16.5 (Angel One Charge)  
Female: INR 3.25 (CDSL) + INR 16.75 (Angel One Charge)  
b) Mutual Fund and Bond ISINs: INR 20 + GST split as below:  
Male - INR 3.25 (CDSL) + INR 16.75 (Angel One Charge)  
Female - INR 3.00 (CDSL) + INR 17.00 (Angle One Charge)  
c) Pledge / Unpledge Charges:  
Margin pledge/unpledge/invoke: INR 20 + GST, split as below:  
INR 5 (CDSL) + INR 15 (Angel One Charge) + GST  
MTF pledge/unpledge/invoke: INR 20 + GST split as below:  
INR 12 (CDSL) + INR 8 (Angel One Charge) + GST  
CUSPA pledge/unpledge/invoke: INR 20 + GST split as below:  
INR 5 (CDSL) + INR 15 (Angel One Charge) + GST
7. BSDA facility is subject to approval from CDSL. You will be eligible for BSDA subject to following conditions:  
a) The individual has or proposes to have only one demat account where he/she is the sole or first holder.  
b) The individual shall have only one BSDA in his/her name across all depositories  
c) Value of securities held in the demat account shall not exceed 10 Lakhs for debt and other than debt securities combined at any point of time.

8. If you do not wish to avail BSDA facilities, you will have to specifically provide your consent on support@angelone.in by way of email from your registered e-mail ID to avail the facility of regular demat account.

9. Interest on Cash Collateral Margin Shortfall - 12.5% per annum on shortfall of more than INR 50,000 chargeable every 15 days.

By agreeing to the above tariff structure, I hereby agree to the above charges levied by AOL and understand and agree that in the event of non-payment within 30 days from becoming trade ready, my account shall automatically revert to the iTrade Premier Plan, and corresponding brokerage and commercial charges will apply [provide link of the Premier plan tariff]. I understand and agree that in the event of non-payment, this consent shall be deemed sufficient to be the acceptance of 30 days notice of the change of brokerage plan and commercial charges thereof by AOL.



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)



PLEASE TICK WHICHEVER IS APPLICABLE

☐ A. CLIENT DECLARATION - OPEN INTEREST POSITION

I/We, the undersigned, have taken cognizance of circulars issued by SEBI / Commodity Exchanges from time to time on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same. I/ We hereby declare and undertake that I/ we will not exceed the position limits prescribed from time to time by Commodity Exchanges or SEBI and such position limits will be calculated in accordance with the circulars on position limits as modified from time to time.

I/We undertake to inform you and keep you informed if I / any of our partners / directors I karta I trustee or any of the partnership firms/companies / HUFs / Trusts in which I or any of above such

person is a partner / director I karta I trustee, takes or holds any position in any commodity forward contract I commodity derivative on Exchanges through or through any other member (s) or Exchanges, to enable you to restrict our position limit as prescribed by the above referred circular of Exchanges as modified from time to time.

I / We confirm that you have agreed to enter order in commodity forward contracts I commodity derivatives for me / us as your clients on Commodity Exchanges only on the basis of our above assurances and undertaking.

I/We further undertake to bear any liable/penalty/charges levied by Commodity Exchanges/SEBI.

☐ B. CONSENT TO INSTRUCTION TO MAINTAIN RUNNING ACCOUNT (VOLUNTARY)

Retention statement -Clause -- I / We request you to maintain my/our accounts for funds on running accounts basis instead of 'bill to bill' settlement basis, unless I/we specifically request you for a payout of available free funds in the account. You may settle the accounts at Monthly/Quarterly (as opted in the account opening form) or at such other intervals as SEBI/ Exchanges may specify from time to time. I / We further authorize you to retain funds as may be permitted by Exchanges/SEBI from time to time

or towards other unbilled services and/or charges applicable on my account, while settling the accounts.

I / We understand and agree that no interest will be payable on the amount of funds retained by you as above. The standing instruction/authorization for maintaining my/our account as running account shall remain valid until revoked in writing, addressed to you.

☐ C. CONSENT FOR ELECTRONIC CONTRACT NOTE (ECN) - DECLARATION (VOLUNTARY)

I, \_\_\_\_\_, Client Code \_\_\_\_\_  
PAN \_\_\_\_\_, Registered with you as a client of NSE, BSE, MSEI, Multi Commodity Exchange of India Ltd (MCX), and/or National Commodity & Derivative Exchange Ltd (NCDEX), undertake as follows:

- I am aware that the Member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the Member has to provide electronic contract note for my convenience on my request only.
- Though the Member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all trades carried out/ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operations.
- My email id is \_\_\_\_\_ (the email id must be written in own handwriting). This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- In the event of the Contract notes (ECN) not received by me/us in electronic mode due to the mail bouncing/failure of email servers, loss of connectivity etc. I/we agree to acknowledge the receipt of Contract Notes in physical mode, provided such Contract Notes are received by me/us within the time specified by regulatory authorities. In case you do not receive intimation of the mail bouncing, the same will be construed as my/our confirmation to the receipt of Contract Notes (ECN) in electronic mode and you will not be required to send the Contract Notes in physical mode. In this connection, I/we hereby confirm that I/we am/are agreeable to receive Contract Notes in digital mode on my/our under mentioned email id.

I/We understand that I/we am/are required to intimate any changes in the e mail id mentioned above needs to be communicated by me/us.

[ The above declaration has been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same ]

Verification of the client signature done by,

Authorised Signatory  
of Member



Designation:

Date: DD/MM/YY

Client Signature



Date: DD/MM/YY

Place:

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

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



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

Place: \_\_\_\_\_

Date: DD / MM / YYYY

## Policy on Handling of Good Till Cancelled Orders of Client.

The GTT feature allows you to place a limit order, at the limit price selected by you (the order price) and a trigger price (the trigger price), only when the trigger price is met, your GTT order will be sent to the Exchange for execution at the order price. In case the order is triggered on any day and the order price is not exactly met, all such orders will be automatically cancelled and removed from the GTT queue at Angel One Limited at the end of trading session on the same day. All GTT orders triggered and sent to the Exchange, if not executed for any other reasons on the same day, will also be automatically cancelled. You will need to place the same GTT orders again.

- All GTT orders that do not meet the trigger price in 365 days shall be cancelled. 365 days shall be counted as consecutive calendar days from the date of placing the orders
- In case there is a change in exchange series or any corporate actions, such as; splits, bonuses, dividends, merger, reverse mergers, amalgamations, takeover, delisting, rights issue, etc. where there is a significant impact/change in the scrip price, the GTT will be cancelled at the sole discretion of Angel, one day prior to the Ex-date of such corporate action effect taking place on the stock price
- We shall also provide an intimation to the clients about the upcoming corporate actions at least 5 days prior to the Ex-date of corporate action.



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

Place: \_\_\_\_\_

Date: DD / MM / YYYY

## VOLUNTARY TERMS AND CONDITIONS (EQUITY & COMMODITY)

Whereas the client intends to open securities / commodities trading accounts with Angel One Ltd., (hereinafter referred as Angel) for the purpose of trading in Capital Market Segment, Futures & Options and Currency Derivative Segments and Commodities Futures & Options of the National Stock Exchange of India Ltd., the Bombay Stock Exchange Ltd., the Metropolitan Stock Exchange of India Limited, Multi Commodity Exchange, National Commodity & Derivatives Exchange Limited and Mutual Fund transactions Facilities offered by Stock Exchange and whereas for the purpose of more fully and conveniently availing of the services agreed to be provided by Angel and also the additional services that may be made available by Angel from time to time, the Client, on its own free will and volition, agrees to accept and be bound by the following terms and conditions. The Client understands that these terms and conditions are voluntary i.e, non-mandatory in nature but on their acceptance, these shall constitute the contract between the parties and bind them fully and be enforceable by each party against the other.

1. Authorization to debit additional charges with regard to Trading and Demat Account: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that Angel may levy additional charges including Annual Maintenance Charges and all transaction charges with respect to Clients Demat account / Counter Demat account for any service rendered by Angel and as may be required by the Client, and recover from the Client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the clients ledger account with AngelOne.

2. Lien: All securities, commodities funds and/or properties (Any assets available with Angel) of the Client as may be permitted by the Exchange(s) from time to time to be placed with Angel shall be subject to a lien for the payments or fulfillment of all undischarged liabilities and obligations of the Client in relation to its transactions or owing to any of the group companies of Angel. Angel shall be entitled to withhold such securities, commodities, funds and/or property of the Client as security towards any such un-discharged liabilities or obligation of the Client and to sell and/or appropriate to itself all such securities, commodities, funds or properties at its sole discretion & at any point of time, without notice to client.

3. Authorization for delivering / pledging shares: The client understands and agrees that Angel may deliver to the Exchange any securities held by it on behalf of the client to discharge settlement obligations in respect of securities sold by the client or pledge the same with the clearing house of the recognized stock exchange in any segment where the Client is registered for trading for the purpose of providing margin for the trading positions contracted or to be contracted by the Client or with any scheduled commercial bank, Non-Banking Financial Institution or other financial institution for raising funds to the extent account of the client carries debit balance but without any obligation on its part to so raise funds by pledging the securities and without prejudice to the right of Angel to enforce, at its option, the collateral security in the securities to recover the debit balance at any time.

4. Authorization for Inter segment fund balance transfer and stock transfers: The client hereby authorizes Angel to transfer its debit/credit balances in the ledger account arising during the course of trades in any segment including commodities segment to its ledger account in any other segment including commodities segment or to transfer any stock purchased/lying in its account in any segment including commodities segment to its account in any other segment as often as may be required. The transfers may be completed by passing journal entries in the books of Angel.

5. Disclaimer: The Client understands and agrees that neither Angel nor

any other party disseminating any market data, message or information through the Website of Angel or in any other media shall be liable for: (a) Any inaccuracy, error, omission or delay in the transmission or delivery of any such data, information or message, or (b) Any loss or damage arising from or occasioned by (i) Any such inaccuracy, error, delay or omission, (ii) Nonperformance, or (iii) Interruption in making available any such data, information or message, due to either any act or omission by Angel or any disseminating party or to any "force majeure" (e.g. flood, extraordinary weather condition, earthquake or other act of nature, fire, war, insurrection, riot, labour dispute/unrest, accident, action of government, communications or power failure, equipment or software malfunction) or any other cause beyond the reasonable control of Angel or any disseminating party.

6. Manner/Mode of placing orders/instructions & Nonexecution/ delay/cancellation of Orders: The Client may communicate orders and other instructions to Angel or the subbroker/ authorised person as the case may be over phone at the designated contact telephone number, or in writing, or through designated email, or by personally visiting the designated office. The client hereby agrees that Angel or the Exchanges shall not be liable for non execution or partial execution of any orders caused due to suspension, interruption, or malfunctioning of the online as well as offline trading services, disruptions or congestion of communication net works, hardware or software problems, or failure of the electronic trading beyond the control of Angel or the Exchange.

7. Client not to act on representations of agents, employees: Client is aware that Angel has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the Client whether in writing or otherwise on behalf of Angel.

8. Recording of Conversation: The client is aware and agrees that Angel may tape record the conversation between the client/client's representative and Angel, whether over the telephone or in person, as per applicable laws, rules and regulations of SEBI / Exchanges. Angel may produce before competent authorities, voluntarily or on such production being required by such authorities, recorded conversation or transcript thereof or both as valid evidence of the content of the conversation so recorded.

9. Confidentiality of Client Details: Angel may disclose the client information to any person /entity as required under the law or to any broker's Association or organisations in case of dispute in order to take informed decision. The Client hereby agrees and give its consents for the disclosure by Angel to any person or entity including but not limited to any independent third parties or any entities of Angel Group, whether within or outside India, or credit bureau of any information and data relating to Client or relating to Client's trading account with Angel for the purposes of or in connection with, any present or proposed initiatives, including but not limited to any marketing or cross sell initiatives, business proposals, activities, facilities or services availed of or to be availed, by Client in future.

10. The client agrees that Angel may appoint agents, credit bureau for carrying out the acts mentioned in or in relation to rendering its services and hereby consent to share his account related information, reports issued by such credit bureau to any such parties for various Regulatory and other purposes.

11. Disclosure as to Proprietary Trades by Angel: Angel may carry out proprietary trades in addition to trades on behalf of its Clients.

12. Severance: In case any one or more of the terms and conditions contained in this document become invalid, illegal or unenforceable in any respect under any applicable law, the validity, legality and enforceability of the remaining provisions contained herein shall not in any way be affected or impaired thereby.
13. No Waiver: No forbearance, relaxation or inaction by any party to require from the other performance or discharge of any obligation to be performed or discharged by the other under this document shall in any way affect, diminish, or prejudice the right of such party to require of the other party at any time such performance or discharge, or performance or discharge of any other obligations under this document or be considered to be a waiver of any rights, unless the waiver is specifically agreed in writing.
14. Notices: All notices or communications issued by Angel shall be served on the Client in any one or more or all of the following ways at the ordinary business address and/or ordinary place of residence and/or last known address of the client:
- 14.1 (a) By ordinary post or (b) By registered post or (c) By express delivery post or (d) By SMS on registered mobile or by telephonic call or (e) By affixing it on the door at the last known business or residential address or (f) By oral communication to the party or on the last known telephone number or on the recording machine of such number or (g) By advertising it in at least one prominent daily newspaper having circulation in the area where the last known business or residential address of the client is situated or (h) By publishing it on the website of Angel wherein secured log-id and password to Client is provided or (i) By a notice posted on the notice board of the Exchange if no address be known or (j) By electronic mail or fax or (k) By hand delivery or By Courier or any other approved mode as may be allowed for communication.
- 14.2 Notwithstanding anything stated above, communication relating to orders, margins, maintenance calls and other similar matters in the ordinary course of dealings between Angel and the Client may be made orally.
15. Electronic Contract Note (ECN):
- 15.1. Client agree to receive contract notes in Electronic/Digital Form (ECN) authenticated by means of a digital signature in lieu of Physical Contract notes through e-mail by authorizing Angel in this connection and providing the e-mail address(es) at which the Client wishes the ECN to be sent.
- 15.2. The Client shall access and verify the ECN and all information contained therein, In case of discrepancy the Client, shall inform Angel either in writing or via E-mail within reasonable time of the receipt of the same. Angel shall also publish the Contract Note on the Web site [www.angelone.in](http://www.angelone.in) or on any other designated location specified by Angel from time to time. The Client will be issued a login and password by which the Client can login in to his account and view/save/print the ECN. Should the Client experience any difficulty in opening the ECN, Angel may, on advice by the Client, make the Contract Note available by any other means (e-mail, electronic mail attachment, or in the form of an available download from the back office web site or by delivery of a hard copy). Client's failure to advise Angel of such a difficulty shall amount to valid delivery and viewing of the document by the Client.
16. Electronic Transmission of other Documents: The Client who have opted for ECN agrees that Angel may transmit to the Client any statements, documents or intimation including, but not limited to, Margin Statement, Statements of Funds and Securities, margin and maintenance calls & other notices / communications document mandated by SEBI/Stock Exchange/Depository in electronic mode either at the e-mail ID designated for delivery of ECN or to the mobile number of the Client or both and, in case of non receipt of bounced mail/non delivery of SMS notification, Angel shall be deemed to have fulfilled his obligation to deliver to the Client such documents. Discrepancies if any in documents should be brought to the notice of Angel within reasonable time from issuance failing which the documents shall be deemed to be true and correct record of transactions stated therein.
17. Electronic Payment Gateway for Net Banking Services: Angel may provide on its internet trading website, without additional cost to the Client, access to Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the Client with Angel. Client understands that Angel is only providing access to the electronic fund transfer facility provided by the banker of the Client through Angel's website by means of an interface and is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising thereout. Client undertakes not to make Angel a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that Angel's liability shall at all time be limited to the amount actually received in its account by electronic transfer from Client's account with the Bank.
18. Internet / Wireless Technology based Trading facility:
- 18.1. Angel offers Internet and mobile Trading facility for transaction in securities on the concerned Exchanges including facilities for online application of IPO / FPO / NFO / Bond issues or any other issues of securities or services to apply/purchase/redeem/sale/buyback or otherwise deal in the units of Mutual Funds (hereinafter referred to as "the Internet/wireless Trading system") through Exchange approved software. The Client can route its orders to Angel over the internet/mobile/laptop with data card or any other devices which use internet protocol for purchasing, selling and dealing in securities. The Client may avail of such Trading facility provided by Angel by complying with the formalities prescribed therefore.
- 18.2. Non-usage of Internet/Wireless Trading Facility: If the Client does not use the Internet/Wireless Trading Facility for a continuous period of 3 months or such other period as Angel may notify, the facility may be deactivated without notice and the Client shall comply with the prescribed formalities for reactivating the facility. Trades can, however, be executed at all time by placing orders off-line with the concerned branch of Angel.
- 18.3. The client understands and agrees that Angel has different product of the Internet Trading /Wireless Trading softwares which have been approved by the Exchanges and the client shall be allotted such product as may be chosen by him. The client also understands and agrees that depending on the trading activity of

the client, Angel shall have the exclusive right and liberty to change the product version allotted to the client and allot a different product version of the Internet Trading/Wireless Trading facility.

17.4. Orders of Client subject to review by Angel: The Client agrees that the Angel may, on being suspicious of any of the transactions, review any order placed by a Client, which may cause delays in the processing of the Client's order or may result in rejection of such order."

18. Extra Ordinary Events and termination/suspension of trading facility: Angel will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquakes, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of communication net-work or links, software glitches or corruption, low processing speed, strikes or any other conditions beyond Angel's control resulting in nonexecution, partial or incomplete execution of orders and the resulting financial loss, if any Angel may at any time terminate, discontinue or temporarily suspend trading facility provided to the Client in the event of any such extraordinary event occurring without giving prior notice to the Client.

19. Amendments to the terms and conditions : Angel reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying, or varying the provisions thereof by giving 15 days' notice to the Client (other than in respect of Stamp Duty, GST, Education Cess & Statutory Levies for which Angel shall provide a 30 (thirty) days' prior notice or such other period permitted under applicable law as detailed in this form). In the event where the client has not objected to revised terms and conditions within 15 days of receiving such notification, the same shall be binding on the client. The terms and conditions and amendments made by Angel from time to time is available on companies' website <https://www.angelone.in/>

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

21. Parties agree that all claims, differences or disputes between them, arising out of or in relation to this mandatory and voluntary client / registration document, any dealings and transactions made subject to the Bye laws, Rules and Regulations of the Exchanges

shall be submitted to arbitration for resolution in accordance with the provisions of the Arbitration and Conciliation Act, 1996 and the Byelaws and Regulations of the concerned Exchange. Provided, however, that recourse shall not be had to the arbitration, the grievance redressal mechanisms or to the investor protection schemes of the of the Exchanges or SEBI where the claims, differences or disputes exclusively arise out of or relate to any contracts entered into; transactions carried out; schemes, leagues or competition joined; other arrangements or understandings reached or relations established by the client with a group concern or associate of the Stock Broker or any third parties and to which the Byelaws, Rules and Regulations of the Exchange are not attracted and the Client understands and agrees that any application for invoking the arbitration/grievance redressal mechanisms or investor protection schemes of the Exchange in relation to any such dispute, claims or differences shall be liable to be dismissed.

## 22. Setting up of Exposure Limits:

22.1. Angel may sanction trading limits to the Client based on the margin lying to the credit of the Client in the form of found / securities / bank guarantees / fixed deposit receipts. Angel at its sole direction may refused to accept ant securities as collateral / margin. Angel shall from time to time publish a list of securities which would be acceptable as collateral / margin. In setting exposure limits for the Client, Angel shall be entitled to consider such factors as it may deem fit, including without limitation, the client's risk profile, risk appetite, loss bearing capacity, payment history, market volatility, risk management policy of Angel and such other purpose. Angel reserves liberty to vary the trading / exposure limits of the Client depending upon its risk assessment from time to time having regard to the changes in any of the factors or market conditions bearing on the risk profile of the Client.

22.2 Neither Angel, nor any affiliate of Angle nor their respective directors, officers, employees, agent shall any circumstances be liable for any direct or indirect loss, cost, liability, expense or damage (including without limitation all legal fees & expenses) arising from any variation or reduction of exposure or turnover limits by Angel.

23. Client to have a Mobile connection: Client agrees to have a mobile connection as a pre-condition to opening & maintaining the a/c with Angel & undertakes to notify Angel promptly whenever he/she/it obtains a new mobile connection in replacement of a mobile previously notified to Angel.

24. Aggregation of open market positions of the Client by the exchange: Client agrees that if the Exchange directs / advise Angel to reduce the exposure of the Client in any outstanding open interest in any contract, because the market exposure of the client in the contract, individually, or taken together with that of related parties, exceeds the maximum allowable open position prescribed by the Exchange for an individual client or for all clients of Angel in the contract, Angel May square off the open market positions of the client in the contract as directed by the Exchange. client also agrees that, though Angel may on a best effort basis inform the client of the direction given by the Exchange, it is under no obligation to inform the client and/or obtain client's consent prior to squaring of the positions under this clause and all losses, if any, arising from such squaring off shall be to the account of the client.

25. Payment of Full Contract Value: Client agrees to pay Angel for all open buy positions, excepting both side option contract positions, full contract value less the free surplus fund of the client, if any, already with Angel, one day prior to the commencement of the tender period for the respective contract, and If that day is a bank holiday, on the



day immediately preceding that day which is bank working day. If the Client makes a default in making payment as above, Angel at its discretion may square off all or part of the open positions of the Client and all and any losses arising thereout shall be to the account of the client.

26. Execute / Self / Wash / Match trades: Orders of buy and sell placed at such rates and which such time intervals / frequencies, and particularly in contracts considered illiquid, may be rejected or cancelled by Angel without prejudice to its other rights to impose penalty on the client and/or deregister the client. Angel may also report such instances to the Exchange or the Regulator for appropriate action at their end.

27. Use of services of Authorised Person :

I/We hereby authorize Angel One Limited to disclose details of my/our account as mentioned in the account opening form, supporting documents submitted therewith and/or any other information pertaining to my/our account including the trades/transactions carried out through my/our account to the Authorised Person or such agents by whatever name they are called by affiliated to Angel One Limited.

For the purpose of the aforesaid Clause Authorised Person shall mean any Company/Person and/or its employees appointed by Angel One Limited in this regard;

In case the Authorised Person registered with the Exchange, I/We hereby authorize Angel One Limited to grant access and/or permit

the Authorised Person all the rights as governed by the existing regulatory provisions including any changes issued from time to time.

In case the Authorised person is Mutual Funds certified, hereinafter referred to as Independent Financial Provider for Mutual Fund ("IFPMF"), I/We hereby authorize Angel One Limited to grant access and/or permit the IFPMF to view all trades and transactions carried out through my/our account and share details of such trades and transactions to enable the IFPMF to track my/our investments and provide necessary assistance accordingly.

28. The Client hereby agrees and provides Angel and its group companies its unconditional and express consent to use, access, disclose to, store and share with any third parties the information (whether sensitive, personal, proprietary or otherwise) provided by the Client whether for processing, storage or any other purposes as deemed fit by Angel and its group companies, including, for the purposes of providing services by Angel Group. In the event, the Client wishes to revoke the consent to use/store/process the said information, in part or in full, it shall provide a prior written notice for such withdrawal of consent to support@angelone.in pursuant to which Angel and / or its group companies, as the case maybe, shall stop using/processing/retaining such information within prescribed timelines as per applicable laws. Notwithstanding anything to the contrary contained here in above, Angel and / or its group companies shall however retain the right to store such information or provide the information to any regulatory/statutory/judicial/government body/exchange as the case maybe, as per the applicable laws.

I/We hereby state & confirm that I have read & understood the terms & conditions as mentioned above & agree to abide by the same.

## RESEARCH ANALYST TERMS AND CONDITIONS / MITC

Last updated on: \_\_\_\_\_

These terms and conditions (the "Terms") mandate the terms on which the users ("you" or "your" or "yourself" or "User") access, register and avail Services (defined below) on (a) the web-based platform <https://www.angelone.in>, and mobile-based application 'Angel One' (the "Platform"), owned and operated by Angel One Limited having its registered office at 601 6th Floor Akruti, Star Central Road, MIDC, Chakala, Mumbai, Maharashtra, India, 400093 bearing registration number INH000000164, registration date: 19th March 2015 (hereinafter referred to as "AOL" or "We" or "the Company").

AOL and its Affiliates retain an unconditional right to modify or amend these Terms and notify you of the same. You can determine when these Terms were last modified by referring to the "Last Updated" legend above. While it shall be your responsibility to check the Terms periodically for changes.

Please read these Terms carefully before using or registering on the Platform or accessing any material or information through the Platform. By signing these Terms through legally acceptable mode (Aadhaar based signature facility), you accept these Terms and agree to be legally bound by the same.

### 1. Definitions and Interpretation

1.1. Unless expressly otherwise stated, the following terms and expressions used in this Agreement shall have the meanings hereby assigned to them:

1.1.1. "Applicable Law" means all statutes, enactments, acts of

legislature or parliament, ordinances, rules, bye-laws, regulations, notifications, policies, directions, directives and orders as such are in effect as of the date hereof or as may be amended, modified, enacted or revoked from time to time hereafter, including the including the RA Regulations (defined below) and rules, guidelines, circulars issued thereunder or other governmental restrictions or any similar form of decision of, or determination by any government, statutory authority, tribunal, board, or court having jurisdiction over the matter in question.

1.1.2. "Affiliate(s)" means the subsidiaries of AOL and includes any other associate or group company of AOL.

1.1.3. "Confidential Information" shall include, third party information, Intellectual Property Rights, proprietary technique, material and any and all information relating to the Disclosing Party, including without limitation, financial results and projections, costs and prices, details of suppliers, employees and consultants (past, present or prospective), technologies, technical and business strategies, marketing, pricing and other strategies, trade secrets, the terms of this Agreement as well as any such information not generally known to third parties or received from others, whether such information has been expressly designated as confidential or otherwise, to which you have or gain access to under these Terms or which is available to you directly or indirectly, whether in writing, oral, graphic, visual or any other tangible, intangible or electronic form.

1.1.4. "Disclosing Party" shall mean the Company or its Affiliates providing you with Confidential Information.

1.1.5. "Governmental Authority" means any nation or government, any state or other political subdivision thereof, any supra-national authority

or other self-regulatory or quasi-governmental organisation exercising executive, legislative, judicial, regulatory or administrative functions or pertaining to government (including, in each case, any branch, department or official thereof).

1.1.6. "Intellectual Property Rights" means and includes any and all copyright, images, titles, slogans, and all other literary material, trademarks, tradenames, domain names, designs, all confidential and proprietary information, knowledge, technology, computer programs, software, any licenses, sub-licenses and permissions, goodwill, know-how, concepts, ideas, source code, object code and all other intellectual property and other ancillary assets recognized as such under any jurisdiction, and in industry usage or otherwise.

1.1.7. "Partners" means such third parties in the financial services sector whose products or services are offered on the Platform.

1.1.8. "Person" means a natural person, partnership, domestic or foreign limited partnership, domestic or foreign limited liability company, trust, estate, association, corporation, other legal entity, or Governmental Authority.

1.1.9. "RAASB" means the Research Analyst Administration and Supervisory Body.

1.1.10. "RA Regulations" means the SEBI (Research Analyst) Regulations, 2014, as amended from time to time.

1.1.11. "Receiving Party" shall mean you receiving the Confidential Information.

1.1.12. "SEBI" means the Securities and Exchange Board of India.

## 2. Services

2.1. You may avail the research analyst services and such other services offered to you on the Platform by AOL ("Services") which has been registered with SEBI for providing such Services. The Company hereby provides you a limited, non-exclusive, non-transferable, royalty free licence to use the Platform for the purposes of registering on the Platform and to opt for such research analyst services provided by the Company. The Company reserves the right to introduce additional products or services, or modify existing offerings, at its sole discretion and without prior notice.

2.2. Nothing herein is intended to nor be construed to constitute the relationship of a principal and agent, employer and employee, partners, joint venture, co-owners or otherwise as participants in a joint undertaking or representative of the other for any purpose whatsoever.

2.3. As part of the Services provided/to be provided to you, you agree to provide honest feedback/review about the Services, if required by the Company.

2.4. You hereby acknowledge and agree that the Company and/or its Affiliates shall be entitled to collect, store and process your information in accordance with the Applicable Laws for the purpose of rendering the Services contemplated in these Terms.

## 3. Terms of Service

3.1. Availing the research services: By accepting these Terms, you confirm that you have elected to subscribe to the Services of the Company at your sole discretion. We confirm that the Services shall be rendered in accordance with the applicable provisions of the RA Regulations.

3.2. Obligations on the Company: The Company and you shall be bound by the SEBI Act, 1992 and all the applicable rules and regulations of SEBI, including the RA Regulations and relevant notifications of Government, as may be in force, from time to time.

3.3. Client Information and KYC: You shall furnish all such details in full as may be required by the Company in its standard form with supporting details, if required, as may be made mandatory by RAASB/SEBI from time to time. The Company shall collect, store, upload and check Know-Your-Customer (KYC) records of the User with KYC Registration Agency (KRA) as specified by SEBI from time to time.

3.4. Standard terms of service and consent:

By accepting these Terms and subscribing to the Services provided by the Company, you agree to provide the following undertakings:

3.4.1. I / We have read and understood the terms and conditions applicable to a research analyst as defined under regulation 2(1)(u) of the RA Regulations, 2014, including the fee structure.

3.4.2. I / We are subscribing to the Services for our own benefits and consumption, and any reliance placed on the research report provided by research analyst shall be as per our own judgement and assessment of the conclusions contained in the research report.

3.4.3. I / We understand that –

- (i) Any investment made based on the recommendations in the research report are subject to market risk.
- (ii) Recommendations in the research report do not provide any assurance of returns.
- (iii) There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report.

3.5. Declaration by the Company: The Company hereby declares the following:

3.5.1. The Company is duly registered with SEBI as a research analyst pursuant to the RA Regulations and its registration details are: Registration number: INH000000164; Registration date: 19th March 2015;

3.5.2. The Company has registration and qualifications required to render the services contemplated under the RA Regulations, and the same are valid and subsisting;

3.5.3. The Services provided by the Company do not conflict with or violate any provision of law, rule or regulation, contract, or other instrument to which it is a party or to which any of its property is or may be subject;

3.5.4. The maximum fee that may be charged by the Company is 1.51 lakhs per annum per family of User.

3.5.5. The recommendations provided by the Company do not provide any assurance of returns.

## 4. Consideration and Mode of Payment

You agree to pay the Company the fees for the Services rendered, along with any applicable statutory charges, as mutually agreed at the time of subscription.

4.1. Payments shall be made through the following approved channels:



- 4.1.1. Cheque;  
4.1.2. Bank Transfers: NEFT, IMPS, RTGS;  
4.1.3. Digital Payments: UPI, Net Banking; or  
4.1.4. Optionally, the Payment Gateways & Centralized Fee Collection Mechanism ("CeFCoM") (as prescribed by SEBI) details of which shall be provided by AOL in the future.

## 5. Risk factors

5.1. Investments are subject to market risk. Investing or trading in financial products involves risk. Past performance of the recommendation is not an indication of future returns. Past performance of the Company is not an indicator of future performance. Past performance of the security is not an indication of future returns.

5.2. There are no assurances or guarantees that the objectives of any investment in financial products will be achieved.

5.3. The names of financial products mentioned herein do not in any manner indicate their prospects or returns. The performance in the equity may be adversely affected by the performance of individual companies, changes in the market place and industry specific and macro-economic factors.

5.4. The performance of the investments/ products recommended by the Company are subject to a wide range of risks, including but not limited to: performance of the respective companies, changes in equity and debt market conditions, micro and macro factors and forces affecting equity and debt markets, general levels of interest rates and interest rate risk, credit risk, liquidity risk, reinvestment risk, economic slowdown, volatility and illiquidity of the stocks, risks associated with trading volumes, liquidity and settlement systems in equity and debt markets and/or such other circumstance beyond the control of the Company or any of its Affiliates.

5.5. Other risk factors include that may affect the performance of the investments/ products recommended by the Company include but are not limited to economic policies, changes of Government and its policies, acts of God, acts of war, civil disturbance, sovereign action and /or such other acts/ circumstance beyond the control of the Company or any of its Affiliates.

5.6. The recommendations provided by the Company as part of its Services may not be suitable to all categories of investors.

5.7. You should read all scheme and security related documents carefully before investing.

5.8. Returns and performance figures mentioned in the research report represent past performance and should not be constituted to be future returns or guaranteed returns.

## 6. Conflict of interest

6.1. The Company is committed to ensuring transparency and mitigating any actual or potential conflict of interest in its research services in accordance with the applicable regulations/ circulars/directions specified by SEBI from time to time. AOL, in its capacity as a SEBI-registered Research Analyst, maintains an arm's length. As required by the RA Regulations, the Company makes the following declarations:

(i) Adherence to SEBI Guidelines: AOL complies with all applicable SEBI regulations, circulars, and directions regarding the disclosure and mitigation of conflicts of interest.

(ii) Restrictions on trading: To ensure no conflict of interest, the

Company declares as follows: (a) personal trading activities of the individuals employed as research analysts shall be monitored, recorded and subject to a formal approval by the directors or compliance officer of the Company; and (b) research analysts employed by the Company or their associates or relatives shall not: deal/ trade in stocks recommended/ tracked by the Company within 30 (thirty) days before and 5 (five) days after the publication of a research report; deal/ trade in securities that the research analyst reviews in a manner contrary to the given recommendation; purchase or receive securities of the issuer before the issuer's initial public offering, if the issuer is principally engaged in the same types of business as companies that the Company follows or recommends.

## 7. Disclosures with respect to Services

7.1. Each research report issued by the Company will include: (a) any financial interest that the Company or its analysts have in the subject securities or entities; (b) disclosure of ownership exceeding 1% of the total issued capital of the subject company by the Company or its employees; and (c) disclosure of any other material conflict of interest.

7.2. The Company shall also disclose in the research report: (a) any compensation received by the Company or its associates from the subject company in the past 12 (twelve) months; whether it or its associates have managed or co-managed public offering of securities for the subject company in the past 12 (twelve) months; whether it or its associates have received any compensation for investment banking or merchant banking or brokerage services from the subject company in the past 12 (twelve) months; (d) whether it or its associates have received any compensation for products or services other than investment banking or merchant banking or brokerage services from the subject company in the past 12 (twelve) months; whether it or its associates have received any compensation or other benefits from the subject company or third party in connection with the research report.

7.3. The Company shall disclose if the Company or its directors or its employee or its associates have served as an officer, director or employee of the subject company and if the Company has been engaged in market making activity of the subject company.

7.4. To the extent any part of the Services involves the use of artificial intelligence (AI) tools or technologies, the Company will disclose the nature and extent of such use to you.

## 8. Termination of Service and Refund of Fees

In case of suspension of certificate of registration of the Company for more than 60 (sixty) days or cancellation of the research analyst registration, the Company shall refund the fees, on a pro rata basis for the period from the effective date of cancellation/ suspension to end of the subscription period.

## 9. Grievance Redressal and Dispute Resolution

9.1. Any grievance related to (i) nonreceipt of research report or (ii) missing pages or inability to download the entire report, or (iii) any other deficiency in the research services provided by the Company, shall be escalated promptly by the client to the person/employee designated by the Company, in this behalf you may contact us at:

Name: Rajesh Bhosle

Email ID: aolresearch@angelone.in

9.2. If you are not satisfied with the outcome, you may lodge grievances through SEBI's SCORES platform at [www.scores.sebi.gov.in](http://www.scores.sebi.gov.in)

9.3. The Company shall be responsible to resolve grievances within 7 (seven) business working days or such timelines as may be specified by SEBI under the RA Regulations. The Company shall redress your grievances in a timely and transparent manner. You may also consider the Online Dispute Resolution (ODR) through the Smart ODR portal at <https://smartodr.in>. Any dispute between the Company and you may be resolved through arbitration or through any other modes or mechanism as specified by SEBI from time to time.

## 10. Disclaimer

The views, opinions, and recommendations expressed may differ based on the individual methodologies, perspectives, or market outlooks of the respective analysts. You are advised to treat such content as informational in nature and not as a substitute for independent investment judgment. The final investment decision shall always rest with you, and the Company shall not be held responsible for any loss or damage arising from reliance on such views.

## 11. Investor Charter

You are strongly advised to review the Do's and Don'ts while dealing with a Research Analyst (RA) as specified by the Securities and Exchange Board of India (SEBI). The guidelines are outlined in SEBI Circular No. SEBI/HO/MIRSD/MIRSDPoD/P/CIR/2025/8 dated June 02, 2025, here, or any subsequent circulars or amendments issued by SEBI from time to time.

## 12. Most Important Terms and Conditions (MITC)

12.1. These terms and conditions, and consent thereon are for the Services provided by the Company and the Company cannot execute/carry out any trade (purchase/sell transaction) on behalf of, you. Thus, you are advised not to permit the Company to execute any trade on your behalf.

12.2. The fee charged by the Company to you will be subject to the maximum of amount prescribed by SEBI/RAASB from time to time (applicable only for Individual and HUF Clients). The current fee limit is Rs 1,51,000/- per annum per family of the User for all Services of the Company.

12.3. Without prejudice to Clause 4 above, the fee limit does not include statutory charges.

12.4. Without prejudice to Clause 4 above, the fee limits do not apply to a non-individual User / accredited investor.

12.5. The Company may charge fees in advance if agreed by you. Such advance shall not exceed the period stipulated by SEBI; presently it is one year. In case of pre-mature termination of the Services by either the User or the Company, the User shall be entitled to seek refund of proportionate fees only for unexpired period.

12.6. The Company is required to abide by the applicable regulations/ circulars/ directions specified by SEBI and RAASB from time to time in relation to disclosure and mitigation of any actual or potential conflict of interest. The Company will endeavor to promptly inform you of any conflict of interest that may affect the Services being rendered to you.

12.7. Any assured/guaranteed/fixed returns schemes or any other schemes of similar nature are prohibited by law. No scheme of this nature shall be offered to you by the Company.

12.8. The Company cannot guarantee returns, profits, accuracy, or risk-free investments from the use of the Company's research services. All opinions, projections, estimates of the Company are based on the analysis of available data under certain assumptions as of the date of

preparation/publication of research report.

12.9. Any investment made based on recommendations in research reports are subject to market risks, and recommendations do not provide any assurance of returns. There is no recourse to claim any losses incurred on the investments made based on the recommendations in the research report. Any reliance placed on the research report provided by the Company shall be as per the User's own judgement and assessment of the conclusions contained in the research report.

12.10. The SEBI registration, enlistment with RAASB, and National Institute of Securities Markets (NISM) certification do not guarantee the performance of the Company or assure any returns to the client.

12.11. You are required to keep contact details, including email id and mobile number/s updated with the Company at all times.

12.12. The Company shall never ask for the client's login credentials and OTPs for the client's Trading Account Demat Account and Bank Account. Never share such information with anyone including the Company.

## 13. Use of Platform

13.1. You are responsible for ensuring that when you access the Platform, you are aware of the Terms and Privacy Policy of AOL, and other applicable terms and conditions, and for complying with them to the fullest extent.

13.2. You agree to use the Platform only: (a) for purposes that are permitted by the Terms; and (b) in accordance with any Applicable Law, regulation or generally accepted practices or guidelines. You agree not to engage in activities that may adversely affect the use of the Platform by the Company or other Users.

13.3. You agree not to access (or attempt to access) the Platform in any means other than through the interface that is provided by the Company. You shall not copy, reproduce, publish, reverse engineer, disassemble, reverse assemble, convert, translate, merge, decompile, create derivative works from, or attempt to create, generate or access source code from the software underlying the Platform.

13.4. You shall not use any deep-link, robot, spider or other automatic device, program, algorithm or methodology, or any similar or equivalent manual process, to access, acquire, copy or monitor any portion of the Platform, or in any way reproduce or circumvent the navigational structure or presentation of the Platform to obtain or attempt to obtain any materials, documents or information through any means not specifically made available through the Platform.

## 14. Intellectual Property

14.1. All Intellectual Property Rights underlying the content, data, design, information or other materials available on and underlying the Platform, including but not limited to software underlying the Platform or which are required for accessing or using the Platform, images, text, layouts, arrangements, displays, illustrations, photographs, graphics, audio and video clips, HTML files and other content, logos, trademarks including the trademark 'Angel One', and other trademarks that may be used on the Platform ("Company IP") are the property of the Company, its Affiliates respectively and/or our licensors and are protected by copyright and/or other applicable intellectual property right laws. You may use the said Company IP only for your own personal, non-commercial use in connection with your use of the Services, subject always to these Terms. You are not permitted to copy, reproduce, publish, perform, communicate to the public in any manner whatsoever, transmit, sell,

license, distribute or transfer in any manner whatsoever, adapt, modify, translate, disassemble, decompile or reverse engineer, create derivative works from, or in any way use or exploit the Platform, the Service(s), the Company IP or any part thereof except for your personal, non-commercial use in accordance with these Terms.

14.2. You shall not remove or obliterate any copyright, trademark or proprietary rights notices from the Company IP or the Platform and shall reproduce all such notices on all authorized copies of the Company IP. Use of the Platform, the Service(s) and/or Company IP in violation of these Terms may violate copyright, trademark, and other applicable laws, and could result in appropriate legal action.

14.3. All rights, title and interest in the Platform, the Service(s), and the Company IP, except the limited license granted to you as per these Terms, are exclusively reserved by AOW and its Affiliates, respectively.

14.4. If any Company IP is held by a court of competent jurisdiction to constitute an infringement of a third-party's Intellectual Property Rights, the Company and/or its Affiliates reserve the right, at its sole discretion to:

14.4.1. procure for you the right to continue use of the Services;

14.4.2. provide a modification to the Platform and/or the Services so that its use becomes non-infringing;

14.4.3. replace the Services with services similar in functionality and performance; or

14.4.4. if none of the foregoing alternatives is commercially reasonable, terminate our agreement with you (i.e., these Terms).

14.5. The foregoing is your sole remedy and Company's and/or its Affiliates sole obligation with respect to Intellectual Property Rights infringement claims.

14.6. Feedback: If you provide us with any feedback or suggestions regarding the Platform and Services ("Feedback"), you hereby assign to us all rights in such Feedback and agree that we shall have the right to use and fully exploit such Feedback and related information in any manner it deems appropriate. We will treat any Feedback you provide to us as non-confidential and non-proprietary. You agree that you will not submit to us any information or ideas that you consider to be confidential or proprietary.

## 15. General Disclaimers of Warranties & Liability

15.1. You expressly understand and agree that, to the maximum extent permitted by Applicable Law:

15.1.1. The Platform and Services are provided by the Company on an "as is" basis without warranty of any kind, express, implied, statutory, or otherwise, including the implied warranties of title, non-infringement, merchantability, or fitness for a particular purpose. No advice or information, whether oral or written, obtained by you from the Company shall create any warranty not expressly stated in the Terms.

15.1.2. Company or its Affiliates will not be liable for any loss, damage, liability that you may incur as a consequence of your use of the Platform, under Applicable Laws or otherwise.

15.1.3. Company has endeavoured to ensure that all the information on the Platform is correct, but the Company neither warrants nor makes any representations regarding the quality, accuracy or completeness of any data, information regarding the Services or otherwise. The Company shall not be responsible for the delay or inability to use the Platform or

related functionalities, the provision of or failure to provide functionalities, or for any information, software, functionalities and related graphics obtained through the Platform, or otherwise arising out of the use of the Platform, whether based on contract, tort, negligence, strict liability or otherwise. Further, the Company shall not be held responsible for non-availability of the Platform during periodic maintenance operations or any unplanned suspension of access to the Platform that may occur due to technical reasons or for any reason beyond the Company's control.

15.1.4. Company waives and disclaims, to the maximum extent permissible under Applicable Law, any representations, warranties, declarations or guarantees regarding all warranties of any kind, whether express, implied or statutory, including without limitation warranties of merchantability, satisfactory quality, fitness for a particular purpose, title, non-infringement or quiet enjoyment.

15.1.5. The Company or its Affiliates do not warrant that the functions contained in the Platform or Services will meet your requirements or be available, timely, secure, uninterrupted or error free, and the Company will not be liable for any Service interruptions, including, but not limited to system failures or other interruptions.

15.1.6. The Company or its Affiliates shall not be liable for any loss, damage or liability that you incur by or as a result of the use of the Platform and/or any corruption, loss or deletion of your data or information.

15.1.7. In relation to any information or recommendations provided by the Company or its Affiliates, you hereby agree and acknowledge that the Company or its Affiliates provide such Services on a good faith and best-efforts basis. Any such information or recommendations provided is only suggestive in nature and should be adopted at your sole prerogative and basis your own judgement. Any loss or damage caused to you or resulting, directly or indirectly, from such information / recommendation in any manner whatsoever, shall be solely your responsibility, to the total exclusion of the Company or its Affiliates.

15.1.8. The Company and its Affiliates disclaim all liability for any risks, direct, indirect or ancillary, whether in relation to the Platform and/or Services, that may be caused to you flowing from your use of the Platform and/or Services.

15.1.9. All information, materials and documents made available on the Platform regarding the products and services of third-party Partners or Affiliates of the Company are purely for informational purposes and nothing on this Platform shall be construed as solicitation or recommendation of a product or service offered by such third-party Partners or Affiliates.

15.1.10. It is hereby clarified that the role of the Company is limited to providing the Platform for its Affiliates and third-party Partners to offer their respective Services. The Platform provided by the Company is a technology solution which connects Users with third party Partners and Affiliates to enable Users to avail Services.

## 16. Indemnification and Limitation of Liability

16.1. You agree to indemnify, defend and hold harmless the Company and its Affiliates including but not limited to its (and its Affiliates') employees, officers, directors and representatives ("Indemnitees") from and against any and all losses, liabilities, claims, damages, demands, costs and expenses (including legal fees and disbursements in connection therewith and interest chargeable thereon) asserted against or incurred by the Indemnitees that arise out of, result from, or may be payable by virtue of, any breach or non-performance of any representation, warranty, covenant or agreement made or obligation to

be performed by you pursuant to these Terms and/or the Policy. Further, you agree to hold the Indemnitees harmless against any claims made by any third party due to, or arising out of, or in connection with, your use of the Platform, any misrepresentation with respect to the data or information provided by you, your violation of the Terms, and/or the Policy, your violation of Applicable Laws, or your violation of any rights of another, including any Intellectual Property Rights.

16.2. In no event shall the Company or its Affiliates, its respective directors and its employees, officers and other representatives, be liable to you or any third party for any special, incidental, indirect, consequential or punitive damages whatsoever, arising out of or in connection with your use of or access to the Platform or content on the Platform.

16.3. The Company will not be liable to you for any loss or damage, whether in contract, tort (including negligence), breach of statutory duty, or otherwise, even if foreseeable, arising under or in connection with:

16.3.1. use of, or inability to use, the Platform and/or Services, or any part thereof; or

16.3.2. use of or reliance on any content displayed on the Platform.

16.4. Notwithstanding anything to the contrary in these Terms, and to the maximum extent permitted under Applicable Law, Company shall not be liable to you for any damages, claims (including third party claims), losses, demands, actions, cause of action, suits, litigation, costs and expenses (including, without limitation, attorney's and consultant's fees) suffered by you in relation to your use of the Platform or the Services. It is hereby clarified that in the event any liability is attributed to the Company, then the Company's or its Affiliate's aggregate liability, shall not exceed the amount equal to INR 10,000/- (Indian Rupees Ten Thousand Only)

16.5. Unless ordered otherwise by a court of competent jurisdiction, the limitations and exclusions in this Section apply to the maximum extent permitted by Applicable Laws.

## 17. Violation of the Terms

17.1. You agree that any violation by you of these Terms will constitute an unlawful and unfair business practice, and will cause irreparable harm to the Company, for which monetary damages would be inadequate, and you consent to the Company obtaining any injunctive or equitable relief that they deem necessary or appropriate in such circumstances. These remedies are in addition to any other remedies that the Company may have at law or in equity.

## 18. Confidential Information

18.1. The Disclosing Party may provide to the Receiving Party Confidential information the Disclosing Party may consider essential for your conduct on the Platform and Services. The Receiving Party agrees to safeguard this Confidential Information of the Disclosing Party to the public and third-parties and shall take all reasonable precautions to prevent any unauthorised disclosure of Confidential Information to the public and third parties, and fully comply with all Applicable Laws including data protection laws.

18.2. The Receiving Party agrees to use the Confidential Information exclusively for the purposes of these Terms and shall not make it available to any third party, except as otherwise provided herein.

## 19. Suspension and Termination

19.1. The Terms will continue to apply until terminated by either you or

the Company as set forth in these Terms.

19.2. The Company may block your access to the Platform if it believes, in its sole and absolute discretion that you have infringed, breached, violated, abused, or unethically manipulated or exploited any term of these Terms or the Policy or anyway otherwise acted unethically. Notwithstanding anything in this Section, these Terms will survive indefinitely unless and until terminated in accordance with these Terms.

19.3. If you or the Company terminate your use of the Platform, the Company may delete any materials relating to you and the Company shall have no liability to you or any third party for doing so.

19.4. Without prejudice to Clause 8 of these Terms, you shall be liable to pay any fees or charges as may be applicable in respect of the Services until the date of termination by either party whatsoever.

## 20. Governing Law and Jurisdiction:

20.1. These Terms and your use of the Platform and Services shall be governed and construed in accordance with the laws of India. You agree to submit to the exclusive jurisdiction of Courts in Mumbai.

## 21. Miscellaneous

21.1. Electronic Communications: The communications between you and us use electronic means, whether you use the Platform or send us emails, or whether we post notices on the Platform or communicate with you via email. For contractual purposes, you (a) consent to receive communications from us in an electronic form; and (b) agree that all terms and conditions, agreements, notices, disclosures, and other communications that we provide to you electronically satisfy any legal requirement that such communications would satisfy as if it were a hardcopy writing.

21.2. Changes to the Terms: We reserve the right to amend these Terms from time to time to ensure that these Terms are consistent with any developments to the Platform and Services. You may determine if any such revision has taken place by referring to the date on which these Terms were last updated.

21.3. Voluntary Clauses: The Company has, in addition to the regulatory requirements prescribed under the RA Regulations and related circulars and guidelines, incorporated certain voluntary clauses and disclosures in these Terms to ensure transparency and better client experience. These voluntary provisions do not override, dilute, or contravene any Applicable Law.

Any modification, amendment, or update to such voluntary clauses shall be preceded by a prior notice of 15 (fifteen) days to the User, and shall be published on the Platform in an accessible manner. Users are encouraged to review such updates periodically.

21.4. Change in Applicable Law: You hereby agree that that where any change in any Applicable Law requires any modification or alteration to these Terms, such alteration or modification shall be made forthwith by us and you will be bound by such Terms as altered or modified.

21.5. No Waiver: You agree that no term or provision under these Terms will be deemed waived. No failure or delay on the part of on Our part in exercising any right, power or privilege under these Terms shall operate as a waiver thereof, nor shall any single or partial exercise of any such right, power or privilege preclude any other or further exercise thereof or the exercise of any other right, power or privilege, and any one instance shall not be deemed or construed to

be a continuing waiver of default or breach of such term or condition for the future or any subsequent breach thereof.

21.6. Severability: Each and every obligation under these Terms shall be treated as a separate obligation and shall be severally enforceable as such and in the event of any obligation or obligations being or becoming unenforceable in whole or in part. To the extent that any provision(s) of these Terms are unenforceable due to any Applicable Laws or by any order passed by a court of law, we endeavour to amend such parts as may be necessary to make such provision or provisions valid and effective. Notwithstanding the foregoing any provision which cannot be amended as may be necessary to make it valid and effective shall be deemed to be deleted from these Terms and any such deletion shall not affect the enforceability of the remainder of these Terms not so deleted.

21.7. Data Sharing: By accessing or using the Services or accepting these Terms, you hereby consent to AOL sharing your data with its group companies and third party service providers, as may be necessary, to facilitate the Services and operate the Platform, to the extent permitted under Applicable Laws.

21.8. Force Majeure Event: Should the whole or any part of the performance of any part of Our obligations or exercise of Our rights

hereunder be prevented or delayed by causes, circumstances or events beyond Our control, including delay due to floods, fires, accidents, earthquakes, riots, explosions, wars, hostilities, acts of government, custom barriers, hartals, strikes, epidemic or other causes of like character beyond Our reasonable control ("Force Majeure Event"), then, we shall be excused and absolved from performance of these Terms for so long as such Force Majeure Event continues to prevail.

21.9. Privity of Contract: Save as otherwise expressly provided in these Terms, any person who is not a party to these Terms shall not have any rights to enforce these Terms.

22. Queries Regarding the Terms

22.1. Please feel free to contact us at <https://www.angelone.in/contact-us> regarding any questions on the Terms.

## RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED TO CLIENTS (VOLUNTARY)

1. Angel is permitted to extend MTF to the clients on such terms and conditions as specified by the Stock Exchanges / SEBI from time to time and as mutually agreed by and between Angel and the Clients. This Rights and Obligation comprises the terms and conditions applicable to MTF and Angel and clients shall abide by the same and any other requirements of the margin trading framework, including other rights and obligations, if any, prescribed by the Stock Exchange/ SEBI/ Angel from time to time. Angel reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying, or varying the provisions thereof by giving 15 days' notice to the Client (other than in respect of Stamp Duty, GST, Education Cess & Statutory Levies for which Angel shall provide a 30 (thirty) days' prior notice or such other period permitted under applicable law as detailed in this form). In the event where the client has not objected to revised terms and conditions within 15 days of receiving such notification, the same shall be binding on the client. The terms and conditions and amendments made by Angel from time to time is available on companies' website [www.angelone.in](http://www.angelone.in).

2. Equity Shares that are classified as 'Group I Security' by SEBI only shall be eligible for MTF. Angel, at its discretion, may not provide funding under MTF to certain equity shares though classified to be "Group I Security" by SEBI. Equity shares shortlisted by Angel for funding (Approved List) shall be as displayed on Angel's trading website from time to time.

3. Initial margin, increased margin, margin shortage, margin calls, maximum allowable exposure, maximum stock specific exposure, trade confirmation, square off intimation and such other information in relation to MTF shall be communicated to the Clients

electronically through one or many or all of the following modes, viz email, SMS, WhatsApp, mobile notifications, and additionally through telephone calls.

4. In order to avail of margin facility, the minimum initial margin required to be provided by the Clients, as prescribed by SEBI/Stock Exchanges, is as under: VaR + 3 times of applicable ELM in case of F & O Stocks (i.e., stocks available for trading in the F&O Segment. VaR + 5 times of applicable ELM in case of stocks other than F & O Stocks. VaR and ELM shall mean VaR and ELM as applicable to respective stocks in the cash segment.

5. Client shall be required to provide the minimum initial margin as applicable for a particular stock to buy that stock under MTF. The margin shall never be lower than that prescribed by the Stock Exchange/SEBI. However, Angel shall have the right to demand a higher initial margin than the margin prescribed by SEBI/Stock Exchanges.

6. Subject to the initial margin as aforesaid, Angel may, at its sole and absolute discretion, revise and increase from time to time the margin required for any stock permitted to be traded under MTF. Where client has exposure in the stock in respect of which margin has been revised but does not already have sufficient credit in the account to meet increase in margin, Client shall pay margin found short within the time prescribed for making margin payment.

7. Applicable minimum initial margin, increased margin, margin shortfall, if any, can be paid in the form of cash, cash equivalent, or Group I equity shares with appropriate hair cut as specified in SE



BIMasterCircularNo.SEBI/HO/MRD/DP/CIR/P/2016/135, DTD. 6/12/2016. Client shall have the right to change collateral securities provided under the MTF with other collateral securities provided that such other collateral securities are approved and sufficient to meet the margin required.

8. Margin requirement on shares purchased under MTF shall be computed by grossing applicable margin i.e., minimum initial margin plus increased margin, if any, on each stock and shortage computed accordingly by deducting available margin from gross margin. Collateral shares and shares purchased under MTF (Funded Shares) shall be marked to market daily for the purpose of computing the margin/shortage of margin.
9. Applicable minimum initial margin and increased margin, if any, shall be kept supplied at all times by the clients in respect of the stocks purchased under the MTF. Client shall pay any shortage in the required margin immediately on receiving demand (margin call) and in any case not exceeding 5 working days from the day of making margin call failing which Angel shall be at liberty to liquidate the funded shares and/or collateral shares to recover the dues outstanding in the account of the Clients. Priority of shares to be liquidated shall depend on the parameters set forth in the Risk Management policy of the company as applicable from time to time. In case of extreme volatility in the market, Angel may demand payment of margin forthwith and prescribed time for making margin payment shall be construed accordingly. Decision of Angel in relation to market volatility shall be final and binding without Angel having to provide any reason for the decision to the Client.
10. Client in margin default shall continue to be in margin default, until the required margin is furnished in full to eliminate the shortage. Partial payment of margin or a change in the required margin shall not extend the time stipulated for making margin payment which will run from the time of making margin call to the Client.
11. In case margin is reduced by an amount equal to applicable ELM component of the total margin due to market volatility within a trading day (i.e., available margin becomes equal to or less than applicable VAR margin), Angel reserves the right to liquidate the collaterals and/or funded shares forthwith without prior notice to the client.
12. MTF Clients purchasing shares not specified in Angel Approved List of Group 1 securities shall be required to 100% margin upfront for such purchases.
13. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility.
14. If a client is debarred by orders of lawful authority from trading in the securities market, Angel shall liquidate collateral and funded shares of the client to recover its dues to the full extent forthwith.
15. Stock broker make amendments in RMS policy at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
16. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
17. Angel reserves the right to withdraw MTF with respect to any Client without assigning any reason after giving a reasonable notice to the Client in which case dues if any outstanding in the account of the Client shall become payable immediately. Failure to make payment of the outstanding dues shall result in liquidation of collateral and/or funded shares held in Client's account.
18. Client may terminate the MTF account after paying all dues in the MTF account.
19. Amendments to the terms and conditions : Angel reserves the right to amend the terms and conditions herein contained by adding, deleting, modifying, or varying the provisions thereof by giving 15 days' notice to the Client ( other than in respect of Stamp Duty, GST, Education Cess & Statutory Levies for which Angel shall provide a 30 (thirty) days' prior notice or such other period permitted under applicable law as detailed in this form). In the event where the client has not objected to revised terms and conditions within 15 days of receiving such notification, the same shall be binding on the client. The terms and conditions and amendments made by Angel from time to time is available on companies' website [www.angelone.in](http://www.angelone.in)
20. The stocks deposited as margin collateral and funded stock shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount.
21. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
22. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
23. Angel shall restrict the maximum gross exposure as well as individual stock-wise exposure of a client under the MTF at any point in time according to its internal policies and market views without assigning any reasons to the client. Furnishing applicable margin shall not by itself entitle the client to seek exposure beyond the limit restricted by Angel.
24. Admitting clients for MTF shall be at the discretion of the Stock Broker/Trading Member. Clients request for admission to MTF may be disallowed without assigning any reason.
25. By agreeing to avail of MTF, the client shall be deemed to have authorized Angel to retain and/or pledge the shares purchased under MTF (funded shares) and collateral shares provided as margin till the amount due in respect of the purchase and all other dues are paid in full by the Client.
26. All outstanding dues under MTF shall carry interest upto @14.99% p.a, compounded at fortnightly rest.
27. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.

28. Until full payment of the outstanding dues in the MTF A/c is made by the Client, collateral shares and funded shares, as far as may be required, shall be retained in the Demat A/c of Angel, separately identified as collateral shares and funded shares.
29. Daily margin statement sent to the MTF clients shall identify margin/collateral for MTF transaction separately.
30. Angel shall declare and communicate to the Client risk management policies that it will follow with respect to MTF transactions. Angel may amend the policies from time to time according to its risk perceptions and inform the Clients of the amendments made.
31. Any disputes arising between the client and Angel in connection with the margin trading facility shall be resolved through the investor grievance redressal mechanism and/or arbitration mechanism of the stock exchanges as in the case of normal trades.
32. The Rights and Obligations prescribed here in a bove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular No. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011, S E B I C i r c u l a r N o . CIR/MRD/DP/54/2017 Dtd. June 13, 2017, the Circulars relating to MTF issued by the respective Stock Exchanges, any modifications thereto from time to time and the Policies and Procedures prescribed by Angel and the terms and conditions of client's agreement with Angel. In case of any inconsistencies

between the Rights and Obligations herein and the provisions in the aforesaid SEBI and/or Stock Exchange Circulars, the later shall prevail to the extent of such inconsistencies.

33. MTF account where there is no transaction under MTF for more than 90 days shall be settled immediately on expiry of said 90 days provided there are no dues outstanding in the MTF account. Dues if any outstanding in the normal trading account shall be first adjusted against the settlement amount and the remainder shall be paid to the Client.
34. The Client hereby agrees, acknowledges and undertakes that it shall comply with the guidelines issued by SEBI/ Depository for BSDA facility from time to time. The Client agrees that in the event the demat account opened under BSDA facility does not or fails to meet the eligibility criteria for BSDA facility as per the guidelines issued by SEBI/Exchanges or any such authority at any point of time, the BSDA account under these terms and conditions will be converted to a regular demat account without further references to the Client and such account shall be levied charges as applicable to regular accounts as informed by the Depository Participant. The Client shall have no claims against Angel for such action due to Client's failure to meet such eligibility criteria for availing BSDA facility.

I would like to avail of Margin Trading Facility and agree to the above Rights & Obligation

Client Signature





## BSE RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED BY STOCK BROKER/ TRADING MEMBER TO CLIENTS

1. Stock Broker/ Trading Member is eligible to provide Margin Trading Facility (MTF) in accordance with SEBI & Exchange Guidelines as specified from time to time.
  2. Stock Broker/ Trading Member desirous of extending MTF to their clients is required to obtain prior permission of BSE. Stock Broker/ Trading Member may note that BSE has the right to withdraw the permission at anytime.
  3. Stock Broker/ Trading Member shall extend the MTF to the client, on such terms and conditions as specified by the Stock Exchange / SEBI from time to time. Stock Broker/ Trading Member and the client shall abide by the requirements of the margin trading framework, including rights and obligations, as prescribed by Stock Exchange/ SEBI/ Stock Broker/ Trading Member.
  4. Stock Broker/ Trading Member shall intimate all the terms and conditions, including maximum allowable exposure, specific stock exposures etc., as well as the rights and obligations to the client desirous of availing MTF.
  5. Stock Broker/ Trading Member may, at its sole and absolute discretion, increase the limit of initial and/or maintenance margin, from time to time. The Client shall abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the Stock Broker/ Trading Member may permit. It may however, be noted that the initial/ maintenance margins shall never be lower than that prescribed by Stock Exchange/ SEBI.
  6. Stock Broker/ Trading Member shall provide MTF only in respect of such shares, as may be permitted by Stock Exchange/ SEBI.
  7. Stock Broker/ Trading Member shall liquidate the securities and other collateral, if the client fails to meet the margin call to comply with the margin requirement as specified by Stock Exchange/ SEBI/ Stock Broker/ Trading Member. In this regard, Stock Broker/ Trading Member shall also list down situations/ conditions in the which the securities may be liquidated (Stock Broker/ Trading Member to list down situations/ conditions):
  8. Stock Broker/ Trading Member shall not use the funds of one client to provide MTF to another client, even if the same is authorized by the first client.
  9. The stocks deposited as collateral with the Stock Broker/ Trading Member for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and no comingling shall be permitted for the purpose of computing funding amount
  10. IPF shall not be available for transactions done on the Stock Exchange, through MTF, in case of any losses suffered in connection with the MTF availed by the client.
- The rights and obligations prescribed hereinabove shall be read in conjunction with the rights and obligations as prescribed under SEBI circular no. CIR/ MIRSD/ 16/ 2011 dated August 22, 2011.

## NSE RIGHTS AND OBLIGATIONS RELATING TO MARGIN TRADING FACILITY PROVIDED BY STOCK BROKER/ TRADING MEMBER TO CLIENTS

### CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.

### CLIENT OBLIGATIONS

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

### STOCK BROKER RIGHTS

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before

commencement of MTF.

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

#### STOCK BROKER OBLIGATIONS

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.
7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stock Broker shall make a 'margin call' requiring the client to

place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.

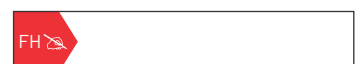
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

#### TERMINATION OF RELATIONSHIP

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

I confirm that I have read and understood the Rights and Obligations related to Margin Trading Facility (MTF) issued by Exchanges and will adhere to the same

Client Signature



# NOMINATION FORM FOR DEMAT ACCOUNTS AND MUTUAL FUND (MF) FOLIOS

|                                                                                                                                                                                                                                                                                |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------|--------------|--------------------------------------------|-------|-------------------------------------------------------------------------------------------------------|-----------------------------|-----------|-----------|--------------------------------------------------|--|--|--|--|--|
| Client Name                                                                                                                                                                                                                                                                    |                        | Trading Code |                                            | DP ID | 1203320                                                                                               |                             | Client ID |           |                                                  |  |  |  |  |  |
| I / We hereby nominate the following person(s) who shall receive all the assets held in my / our account / folio in the event of my / our demise, as trustee and on behalf of my / our legal heir(s)*                                                                          |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| Nominee Details                                                                                                                                                                                                                                                                |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| Mandatory Details                                                                                                                                                                                                                                                              |                        | Nominee 1    |                                            |       | Nominee 2                                                                                             |                             |           | Nominee 3 |                                                  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                | Name of Nominee        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                | Share of nominee (%)** |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                | Relationship           |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                | Postal Address         |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                | Mobile number & E-mail |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                | Identity Number***     |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| Additional Details                                                                                                                                                                                                                                                             | D.O.B. of nominee      |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
|                                                                                                                                                                                                                                                                                | Guardian               |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| *Joint Accounts:                                                                                                                                                                                                                                                               |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| Event                                                                                                                                                                                                                                                                          |                        |              |                                            |       | Transmission of Account / Folio to                                                                    |                             |           |           |                                                  |  |  |  |  |  |
| Demise of one or more joint holder(s)                                                                                                                                                                                                                                          |                        |              |                                            |       | Surviving holder(s) through name deletion The surviving holder(s) shall inherit the assets as owners. |                             |           |           |                                                  |  |  |  |  |  |
| Demise of all joint holders simultaneously – having nominee                                                                                                                                                                                                                    |                        |              |                                            |       | Nominee                                                                                               |                             |           |           |                                                  |  |  |  |  |  |
| Demise of all joint holders simultaneously – not having nominee                                                                                                                                                                                                                |                        |              |                                            |       | Legal heir (s) of the youngest holder                                                                 |                             |           |           |                                                  |  |  |  |  |  |
| ** If % is not specified, then the assets shall be distributed equally amongst all the nominees. Any odd lot after division / fraction of %, shall be transferred to the first nominee mentioned in the nomination form. (see table in 'Transmission aspects').                |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| *** Provide only number: PAN or Driving Licence or Aadhaar (last 4). Copy of the document is not required. However, in case of NRI / OCI / PIO, Passport number is acceptable.                                                                                                 |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| **** to be furnished only in following conditions / circumstances:                                                                                                                                                                                                             |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| - Date of Birth (DoB): please provide, only if the nominee is minor.                                                                                                                                                                                                           |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| - Guardian: It is optional for you to provide, if the nominee is minor.                                                                                                                                                                                                        |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| 1) I / We want the details of my / our nominee to be printed in the statement of holding or statement of account, provided to me/ us by the AMC / DP as follows; (please tick, as appropriate)                                                                                 |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| <input type="checkbox"/> Name of nominee(s) <input type="checkbox"/> Nomination: Yes / No                                                                                                                                                                                      |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| 2) I hereby authorize _____(nominee number ____ ) to operate my account on my behalf, in case of my incapacitation in terms of paragraph 3.5 of the circular. He / She is authorized to encash my assets up to ____% of assets in the account / folio or Rs. _____. (Optional) |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| (strike off portions that are not relevant)                                                                                                                                                                                                                                    |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| 3) This nomination shall supersede any prior nomination made by me / us, if any.                                                                                                                                                                                               |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| 4) Signature(s) – As per the mode of holding in demat account(s) / MF folio(s)                                                                                                                                                                                                 |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| Name (s) of holder(s)                                                                                                                                                                                                                                                          |                        |              | Signature (s) of holder / thumb impression |       |                                                                                                       | Signature of two witnesses* |           |           | Name of Witness & Address (wherever applicable)* |  |  |  |  |  |
| Sole / First Holder (Mr./Ms.)                                                                                                                                                                                                                                                  |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| Second Holder (Mr./Ms.)                                                                                                                                                                                                                                                        |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| Third Holder (Mr./Ms.)                                                                                                                                                                                                                                                         |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |
| * Signature of two witness(es), along with name and address are required, if the account holder affixes thumb impression, instead of wet signature.                                                                                                                            |                        |              |                                            |       |                                                                                                       |                             |           |           |                                                  |  |  |  |  |  |

## RIGHTS, ENTITLEMENT AND OBLIGATION OF THE INVESTOR AND NOMINEE:

1. If you are opening a new demat account / MF folios, you have to provide nomination. Otherwise, you have to follow procedure as per 3.10 of this circular.
2. You can make nomination or change nominee any number of times without any restriction.
3. You are entitled to receive acknowledgment from the AMC / DP for each instance of providing or changing nomination.
4. Upon demise of the investor, the nominees shall have the option to either continue as joint holders with other nominees or for each nominee(s) to open separate single account / folio.
5. In case all your nominees do not claim the assets from the AMC / DP, then the residual unclaimed asset shall continue to be with the AMC in case of MF units and with the concerned Depository in case of Demat account.
6. You have the option to designate any one of your nominees to operate your account / folio, in case of your physical incapacitation, at any point of time and not just during opening of account / folio.  
This mandate can be changed any time you choose.
7. The signatories for this nomination form shall be as per mode of holding in the folio(s) / demat account(s) i.e.
  - 7.1 'Either or Survivor' Folios / Accounts - any one of the holder can sign
  - 7.2 'First holder' Folios / Accounts - only First holder can sign
  - 7.3 'Jointly' Folios / Accounts - all holders have to sign

## TRANSMISSION ASPECTS

AMCs / DPs shall transmit the folio / account to the nominee(s) upon receipt of 1) copy of death certificate and 2) completion / updation of KYC of the nominee(s). The nominee is not required to provide affidavits, indemnities, undertakings, attestations or notarization.

In case of a joint account / folio, for transmission to the surviving joint holder(s) by name deletion, the surviving joint holder(s) shall have the option to update residential address(es), mobile number(s), email address(es), bank account detail(s), annual income and nominee(s), either along with transmission or at a later date. The regulated entity cannot seek KYC documents at the time of transmission, unless it was sought earlier but not provided by the holder.

Nominee(s) shall extend all possible co-operation to transfer the assets to the legal heir(s) of the deceased investor. In this regard, no dispute shall lie against the AMC / DP.

In case of multiple nominees, the assets shall be distributed pro-rata to the surviving nominees, as illustrated below.

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

### OFFICE USE ONLY

(To be filled by Depository Participant)

|       |                                                             |           |  |
|-------|-------------------------------------------------------------|-----------|--|
| DP ID | 12033200, 12033201, 12033202, 12033203, 12033204 & 12033205 | Client ID |  |
|-------|-------------------------------------------------------------|-----------|--|

Nomination form accepted and registered vide Registration No.: \_\_\_\_\_

I / We have received and read the Rights and Obligations document and terms & conditions and agree to abide by and be bound by the same and by the Bye Laws as are in force from time to time. I / We declare that the particulars given by me/us above are true and to the best of my/our knowledge as on the date of making this application. I/We agree and undertake to intimate the DP any change(s) in the details / Particulars mentioned by me / us in this form. I/We further agree that any false / misleading information given by me / us or suppression of any material information will render my account liable for termination and suitable action.



Signature of the Authorised Signatory

Seal/Stamp of the Intermediary

## DECLARATION FORM FOR OPTING OUT OF NOMINATION

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |      |   |   |   |   |   |   |   |   |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|---|---|---|---|---|---|---|---|
| To                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Date | D | D | M | M | Y | Y | Y | Y |
| Angel One Limited<br>601, 6th Floor, Ackruti Star, Central Road,<br>MIDC, Andheri East, Mumbai - 400093.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                |      |   |   |   |   |   |   |   |   |
| UCC/DP ID                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |      |   |   |   |   |   |   |   |   |
| Client ID (only for Demat account)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |      |   |   |   |   |   |   |   |   |
| Sole/First Holder Name                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |      |   |   |   |   |   |   |   |   |
| Second Holder Name                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      |      |   |   |   |   |   |   |   |   |
| Third Holder Name                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |      |   |   |   |   |   |   |   |   |
| I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our MF Folio/ demat account/<br>Trading account and understand the issues involved in non-appointment of nominee(s) and further are aware that<br>in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents /<br>information for claiming of assets held in my / our MF Folio / Trading account / demat account, which may also<br>include documents issued by Court or other such competent authority, based on the value of assets held in the MF<br>Folio / demat account |      |   |   |   |   |   |   |   |   |

## Name and Signature of Holder(s)\*



(First/Sole Holder Signature)



(Second Holder Signature)



(Third Holder Signature)

\* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

|           |  |  |  |
|-----------|--|--|--|
| Name      |  |  |  |
| Address   |  |  |  |
|           |  |  |  |
| Signature |  |  |  |

# DEMAT DEBIT AND PLEDGE INSTRUCTION -DDPI (VOLUNATRY)

DULY STAMPED

TO ALL TO WHOM THESE PRESENTS SHALL COME I/we \_\_\_\_\_, (name of the BO),  
Indian inhabitant/Non-resident SEND GREETINGS.

Whereas I/we hold a Beneficiary account no. \_\_\_\_\_ (BO-ID) with Central Depository Services (India) Limited,  
with Angel One Ltd (a Depository Participant registered with CDSL) bearing DP-ID 12033200, 12033201, 12033202, 12033203,  
12033204 & 12033205

And Whereas I/we are registered as a client with Angel One Ltd (trading member of Bombay Stock Exchange Ltd.,  
National Stock Exchange of India Ltd., Metropolitan Stock Exchange of India Ltd., National Commodity & Derivatives Exchange  
Ltd., and Multi Commodity Exchange of India Ltd for dealing in the securities market.

Dear Sir/Madam,

I/We executing the Demat Debit and Pledge instruction in favour of Angel One Ltd., authorising them to operate aforesaid  
beneficiary account for the below mentioned specific purpose.

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

This authorization will continue to remain valid until revoked in writing by me/us. Such revocation or termination shall in no way  
affect the validity of this document (DDPI) with reference to any transactions initiated by me/us, prior to the actual receipt by the  
Attorney of the notice of such revocation or termination, as above.

I/We accept (For Angel One Ltd.)



Authorised Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## SCHEDULE 1 - LIST OF DEMAT ACCOUNTS

| Depository Participant Name | Demat A/c No.    | Exchange | Name / Type                                  | Account Purpose        | CMBPID |
|-----------------------------|------------------|----------|----------------------------------------------|------------------------|--------|
| ANGEL ONE LIMITED           | 1203320006951435 | NSE      | CDSL - NSE POOL ACCOUNT                      | Payin & Payout Account |        |
| ANGEL ONE LIMITED           | 1203320186015090 | NSE      | CDSL Client Unpaid Securities Pledge Account | TM/CM CUSPA            |        |
| ICICI BANK LIMITED          | IN30134820306643 | NSE      | NSDL Client Unpaid Securities Pledge Account | TM/CM CUSPA            |        |
| ANGEL ONE LIMITED           | 1203320030135829 | NSE      | CLIENT SECURITIES MARGIN FUNDING ACCOUNT     | MTF Pledge Account     |        |
| ANGEL ONE LIMITED           | 1203320030135814 | NSE      | CLIENT SECURITIES MARGIN PLEDGE ACCOUNT      | Margin Pledge Account  |        |
| ICICI BANK LIMITED          | IN30134820707701 | NSE      | NSDL NSE POOL ACCOUNT                        | Payin & Payout Account |        |
| HDFC BANK                   | IN30012610003588 | BSE      | NSDL BSE POOL ACCOUNT                        | Payin & Payout Account |        |
| ANGEL ONE LIMITED           | 1203320000006564 | BSE      | CDSL BSE POOL ACCOUNT                        | Payin & Payout Account |        |

## INVESTOR CHARTER IN RESPECT OF RAs

**A. Vision and Mission Statements for investors**

Vision - Invest with knowledge & safety.

Mission - Every investor should be able to invest in right investment products based on their needs, manage and monitor them to meet their goals, access reports and enjoy financial wellness.

**B. Details of business transacted by the Research Analyst with respect to the investors**

- To publish research report based on the research activities of the RA
- To provide an independent unbiased view on securities.
- To offer unbiased recommendation, disclosing the financial interests in recommended securities.
- To provide research recommendation, based on analysis of publicly available information and known observations.
- To conduct audit annually
- To ensure that all advertisements are in adherence to the provisions of the Advertisement Code for Research Analysts.
- To maintain records of interactions, with all clients including prospective clients (prior to onboarding), where any conversation related to the research services has taken place.

**C. Details of services provided to investors (No Indicative Timelines)**

- Onboarding of Clients
  - Sharing of terms and conditions of research services
  - Completing KYC of fee paying clients
- Disclosure to Clients:
  - To disclose, information that is material for the client to make an informed decision, including details of its business activity, disciplinary history, the terms and conditions of research services, details of associates, risks and conflicts of interest, if any
  - To disclose the extent of use of Artificial Intelligence tools in providing research services
  - To disclose, while distributing a third party research report, any material conflict of interest of such third party research provider or provide web address that directs a recipient to the relevant disclosures
  - To disclose any conflict of interest of the activities of providing research services with other activities of the research analyst.
- To distribute research reports and recommendations to the clients without discrimination.
- To maintain confidentiality w.r.t publication of the research report until made available in the public domain.
- To respect data privacy rights of clients and take measures to protect unauthorized use of their confidential information
- To disclose the timelines for the services provided by the research analyst to clients and ensure adherence to the said timelines
- To provide clear guidance and adequate caution notice to clients when providing recommendations for dealing in complex and high-risk financial products/services
- To treat all clients with honesty and integrity
- To ensure confidentiality of information shared by clients unless such information is required to be provided in furtherance of discharging legal obligations or a client has provided specific consent to share such information.

**D. Details of grievance redressal mechanism and how to access it**

1. Investor can lodge complaint/grievance against Research Analyst in the following ways:

Mode of filing the complaint with research analyst

In case of any grievance / complaint, an investor may approach the concerned Research Analyst who shall strive to redress the grievance immediately, but not later than 21 days of the receipt of the grievance.

Mode of filing the complaint on SCORES or with Research Analyst Administration and Supervisory Body (RAASB)

1. SCORES 2.0 (a web based centralized grievance redressal system of SEBI for facilitating effective grievance redressal in time-bound manner) (<https://scores.sebi.gov.in>)

Two level review for complaint/grievance against Research Analyst:

- First review done by designated body (RAASB)
- Second review done by SEBI

2. Email to designated email ID of RAASB

1. If the Investor is not satisfied with the resolution provided by the Market Participants, then the Investor has the option to file the complaint/ grievance on SMARTODR platform for its resolution through online conciliation or arbitration.

With regard to physical complaints, investors may send their complaints to:

Office of Investor Assistance and Education,  
Securities and Exchange Board of India, SEBI Bhavan,  
Plot No. C4-A, 'G' Block, Bandra-Kurla Complex,  
Bandra (E), Mumbai - 400 051



## E. Rights of investors

- Right to Privacy and Confidentiality
- Right to Transparent Practices
- Right to fair and Equitable Treatment
- Right to Adequate Information
- Right to Initial and Continuing Disclosure
  - Right to receive information about all the statutory and regulatory disclosures
- Right to Fair & True Advertisement
- Right to Awareness about Service Parameters and Turnaround Times
- Right to be informed of the timelines for each service
- Right to be Heard and Satisfactory Grievance Redressal
- Right to have timely redressal
- Right to Exit from Financial product or service in accordance with the terms and conditions agreed with the research analyst
- Right to receive clear guidance and caution notice when dealing in Complex and High-Risk Financial Products and Services
- Additional Rights to vulnerable consumers
  - Right to get access to services in a suitable manner even if differently abled
- Right to provide feedback on the financial products and services used
- Right against coercive, unfair, and one-sided clauses in financial agreements

## F. Expectations from the investors (Responsibilities of investors)

- **Do's**
  - i. Always deal with SEBI registered Research Analyst.
  - ii. Ensure that the Research Analyst has a valid registration certificate.
  - iii. Check for SEBI registration number.  
Please refer to the list of all SEBI registered Research Analyst which is available on SEBI website in the following link:  
<https://www.sebi.gov.in/sebiweb/other/OtherAction.do?doRecognisedFpi=yes&intmId=14>
  - iv. Always pay attention towards disclosures made in the research reports before investing.
  - v. Pay your Research Analyst through banking channels only and maintain duly signed receipts mentioning the details of your payments. You may make payment of fees through Centralized Fee Collection Mechanism (CeFCoM) of RAASB if research analyst has opted for the mechanism. (Applicable for fee paying clients only)
  - vi. Before buying/ selling securities or applying in public offer, check for the research recommendation provided by your Research Analyst.
  - vii. Ask all relevant questions and clear your doubts with your Research Analyst before acting on recommendation.
  - viii. Seek clarifications and guidance on research recommendations from your Research Analyst, especially if it involves complex and high risk financial products and services.
  - ix. Always be aware that you have the right to stop availing the service of a Research Analyst as per the terms of service agreed between you and your Research Analyst.
  - x. Always be aware that you have the right to provide feedback to your Research Analyst in respect of the services received.
  - xi. Always be aware that you will not be bound by any clause, prescribed by the research analyst, which is contravening any regulatory provisions.
  - xii. Inform SEBI about Research Analyst offering assured or guaranteed returns.
- **Don'ts**
  - i. Do not provide funds for investment to the Research Analyst.
  - ii. Don't fall prey to luring advertisements or market rumors.
  - iii. Do not get attracted to limited period discount or other incentive, gifts, etc. offered by Research Analyst.
  - iv. Do not share login credential and password of your trading, demat or bank accounts with the Research Analyst.

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

To,  
 Angel One Ltd.  
 601, 6th Floor, Ackruti Star,  
 Central Road, MIDC, Andheri East,  
 Mumbai - 400093.

Client Code: \_\_\_\_\_ Demat Account number:\_\_\_\_\_

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

I hereby declare following details:

Mobile No: \_\_\_\_\_ the number belongs to \_\_\_\_\_

☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parents ☐ Authorised Signatory (non-individual category)

Email Id \_\_\_\_\_ the email Id belongs to \_\_\_\_\_

☐ Self ☐ Spouse ☐ Dependent Children ☐ Dependent Parents ☐ Authorised Signatory (non-individual category)

Signature of related person: \_\_\_\_\_

Note:

1. As per SEBI Circular No. CIR/MIRSD/15/2011 dated August 02, 2011 investor will receive SMS & Email alerts on the given Mobile No. & Email Id.
2. As per the regulatory guidelines, use of common email id and mobile number is permissible for Family members which includes Self, Spouse, Dependent Parents and Dependent Children. For Non- individual client category the permissible relationship can be of Authorised signatory. Family Flag is required to be updated as 'Y' in all such Demat Accounts
3. Client may please note that Mobile No and/or email ID of Trading Member (TM) / Employees of TM / Authorised Person are not permitted to receive the SMS / Email Communication from Exchanges on behalf of client.
4. Valid Email Id & Mobile Number is mandatory for all New as well as Existing Clients. In case of repetitive bounce observation, member reserves right to suspend the account for want of valid KYC details.



(1st Authorized Signatory)



(2nd Authorized Signatory)



(3rd Authorized Signatory)



Registered / Corporate Office: 601, 6th Floor, Ackruti Star, Central Road, MIDC, Andheri East, Mumbai - 400093.

Tel.: 18001020 Website: [www.angelone.in](http://www.angelone.in) CIN: L67120MH1996PLC101709

Member: Bombay Stock Exchange Ltd. / National Stock Exchange of India Ltd./ Metropolitan Stock Exchange of India Ltd. / Multi Commodity Exchange of India Ltd. / National Commodity & Derivatives Exchange Ltd. / CDSL-Depository Participant

---

SEBI Registration No.: INZ000161534

---

BSE & NSE Cash Segment

TM Code - BSE 612 TM Code - NSE 12798

---

BSE & NSE Commodities Derivative Segment

TM Code - BSE 612 TM Code - NSE 12798

---

BSE & NSE F&O Segment (Trading Cum Clearing Member)

TM Code - BSE 612 TM Code - NSE 12798

---

NSE Currency Derivatives Segment (Trading cum Clearing Member)

TM Code - NSE Currency 12798

---

BSE Currency Derivatives Segment (Trading Cum Clearing Member)

TM Code - 612

---

Multi Commodity Exchange of India Ltd. (Trading cum Clearing Member)

TM Code - 12685

---

National Commodity & Derivatives Exchange Ltd. (Trading cum Clearing Member)

TM Code - 00220

---

NSE SLBM segment ( Trading Cum Clearing Member)

TM Code 12798

---

CDSL-Depository Participant - SEBI Registration No.: IN-DP-CDSL-234-2004 Date: 12/5/2004

CDSL DP ID: 12033200, 12033201, 12033202, 12033203, 12033204 & 12033205

For any grievance/dispute please contact Angel One Limited at the above address or email id: [support@angelone.in](mailto:support@angelone.in) and PhoneNo.:18001020. In case not satisfied with the response, please contact the concerned exchange (s):

BSE Email: [is@bseindia.com](mailto:is@bseindia.com) & Tel.: (022) 2272 8097 | NSE Email: [ignse@nse.co.in](mailto:ignse@nse.co.in) & Tel.: (022) 2659 8190 | MCX Email: [customersupport@mcxindia.com](mailto:customersupport@mcxindia.com) & Tel No: (022) 6731 8888 | NCDEX Email: [askus@ncdex.com](mailto:askus@ncdex.com) & Tel No: (022) 6640 6899

Compliance Officer Name: Mr. Bineet Jha. Tel.: 18001020. Email ID: [compliance@angelone.in](mailto:compliance@angelone.in)

CMD Name: Mr. Dinesh Thakkar - 08657864229 . Email ID: [support@angelone.in](mailto:support@angelone.in)

Also refer our website: [www.angelone.in](http://www.angelone.in) for updated details, if any.



For details: Please contact your nearest branch or call  
Centralized Helpdesk at: 18001020  
or write to [support@angelone.in](mailto:support@angelone.in)