... Your Trusted Partner



UAE Exchange & Finance Ltd.

Second Floor, Habeeb Tower, M.G.Road, Cochin, 682011

CLIENT REGISTRATION FORM

- New Trading /Demat Account
- New Demat A/c With Trading A/c Updation
- New Demat A/c With POA Activation

Client Code										Tern	ninal		Int	erne	t
Beneficiary ID	1	2	0	5	1	8	0	0							
Client Name															
Branch									Date	e:					
Employee Name									Emp	loyee	e Code	e			

CHECKL	IST FOR DOCUME	NTS	
	Sole/First Holder/ Trading Account Holder	Second .Holder in Demat Account	Third Holder in Demat Account
Self-Attested PAN Copy			
Self-Attested proof of Address			
Self-Attested bank proof			
Client Master List - In case of other DP			
One recent passport size photograph			

C	HECKLI	ST FOR SIG	NATURES			
Document	Page No.	Trading Account and NSDL Demat Account	Trading Account and CDSL Demat Account	Trading Account Only	NSDL Demat Account Only	CDSL Demat Account Only
Signature in KYC Application form	5-6	✓	✓	✓	✓	~
Signature in KYC Application form - 2nd Holder	9-10	~	~	×	~	~
Signature in KYC Application form - 3rd Holder	11-12	~	~	×	~	~
Signature Across Photograph (s) for Non Individuals	13	~	~	~	~	~
Signature in KYC Application form for Non Individuals	13-16	~	~	~	~	~
Signature in Trading and Demat Account Related Details	18-24	~	~	~	~	~
Schedule of Charges for Trading Account	25	~	~	~	×	×
Schedule of Charges for Depository Services	26	~	~	×	~	~
Power of Attorney for Broking and other products and services-If opted	27-29	~	~	×	×	×
Running Account-If opted / NRI Undertaking for NRE PIS Account	30	~	~	~	×	×
Undertaking for NRO NON-PIS Account	31	~	~	~	×	×
Declaration NON-Repatriation Basis of NRO Shares	32-33	~	~	~	×	×
Client Authorization to third party - If opted	34	~	~	~	×	×
Undertaking from clients on the F&O Segment-If opted	35	~	~	×	×	×
Regular Service Demat Account- Undertaking-If opted	36	~	~	×	~	~
Addendum for opening e-Insurance Account-If opted	37-38	~	~	×	~	~

Annexure - 1 ACCOUNT OPENING KIT INDEX

S.No.	Name of the Docume	nt	INDEX			Dago No
				rief Significance of the Document		Page No
MAN		PRESCR	IBED BY SEBI & EXCHANGE	-		
			A. (a) CKYC Instruction and Chec			03-04
				res the basic information about the constitu		05-08
			()	es the basic information about the constitue		09-10
			(d) CKYC form- Document captur	res the basic information about the constitu	uent - Third Holder	11-12
1	Account Opening For	m	(e) KRA KYC form- Document cap	tures the basic information about the constit	uent -Non Individual	13
			(f) KRA KYC form Instruction and	Check list for Non Individual		14
				/Karta/Trustees and Whole time directors a n) Forming A part of KYC for Non Individua		15-16
			B. (a) Additional information abou	It the constituent relevant to trading & Dem	nat Account	17-23
			(b) Instruction and Check list			24
2	Tariff Sheet		Document detailing the rate/amou trading on the stock exchange(s)	unt of brokerage and other charges levied	on the client for	25
3	Rights and Obligations of St Brokers, Sub-brokers and D Trading Clients		55	ligations of stock broker/trading member, sul rights & obligations in case of internet/ wire		42-49
4	Risk Disclosure Document (RDD)	Document detailing risks associat	ted with dealing in the securities market.		50-53
5	Guidance Note of the invest	ors.	Document detailing do's and don'	'ts for trading on exchange, for the education	on	54-55
6	Policies and Procedures		-	policies and procedures of the stock broker		57-61
VOL		PROVIDE	ED BY THE STOCK BROKER			1
7	Schedule of charges for Depository		Charges for availing Depository S			26
8	Power of Attorney for Broking and Products & Services Stamp Rs.100	Other		E Exchange to operate client's demat acco	ount/mutual fund/l PO	27-29
9	Running Account	,	Authorization by client to retain fur	nds/securities in trading account to meet set	ttlement obligations	30
10	NRI Undertaking for NRE PIS Acc	ount	To create awareness about RBI ru	-	5	30
11	Undertaking for NRO Non-PIS Acc		Investing under Non-Repatri			31
12	Declaration of Non -repatriation NRO Shares		Declaration of shares under Non-			32-33
13	Client Authorisation to Third	Party	Client authorisation to a third part	ty to operate trading account		34
14	Undertaking from clients on the F&O segment		· · ·	mat holdings on the F&O segment		35
15	Regular Service Demat Account-Ur	ndertaking	Undertaking for availing Regular	Service Demat Account		36
16	Addendum for opening e-Insuranc	-	Addendum for opening e-Insurand			37-38
17	Disclosure		Disclosure by UAE Exchange			39
18	NACH			client designated bank A/C to meeting fund	de for systematic SIPs	41
19	Do's and Don'ts - CDSL		Do's and Don'ts for managing yo			56
19	Additional rights and obligations	for				50
20	broking and other products and		To avail value added products and	d services from UAE Exchange (including	NACH/ECS agreement)	62-81
EEx	change & Finance Ltd.	C	Corporate Identity Number: U85	110KA1993PLC013994	GST Number: 32AAACU	2462R
	ation No. & Date				Compliance Officer Name/pho	one/e-ma
ock Br	roker SEBI Reg. No. : NSE - IN	IB230655	838/INE230655838 MSEI- INE2	60655838 Date: 1-11-1994, 18-09-2008	Mr. SREENISH T S,	
E Me	ember Code: 06558	BSE Me	ember Code: 6674	MSEI Member Code: 64900	Tel No. 0484 237 0496/	
					compliance@uaeexcha	nge.co
posit	tory	CDSL-II	N-DP-CDSL- 416-20071205180	00	Mr. SAJEESH XAVIER, Tel No. 0484 237 0496/9 compliance@uaeexcha	
1Fl re	g. no.	ARN 33	964, Date: 19-12-2005			
	io Manager: Reg.No:	/				
	ice: 63, Artillery Road, Ulsoor	, Bangalo	ore – 560 008		1	
minis		e Address	s : Second Floor, Habeeb Tower	r, M G Road, Cochin – 682 011 ,Tel : 0	9484 2370496/97,	
	me, phone no & email id:			7, Email Id : hq.nse@uaeexchange.c	co.in	
				ed at the above address or Email Id : g cerned exchange(s) at the contact d		co.in 04
chang		Departr		Email ID	Phone No.	
	Stock Exchange of India Ltd			ignse@nse.co.in	022-26598190	
	Stock Exchange Ltd	Investor	Services	is@bseindia.com	022-22728138	
tropoli	itan Stock Exchange of India I td	Invoctor	Complaints	investorcomplaints@msei.com	022 61 120000 Evt 0028	

investorcomplaints@msei.com

022 61 129000 Ext. 9028

Metropolitan Stock Exchange of India Ltd Investor Complaints

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CENTRAL KYC REGISTRY | INSTRUCTIONS / CHECK LIST / GUIDELINES FOR FILLING INDIVIDUAL KYC APPLICATION FORM

Important Instructions:

- A) Fields marked with '*' are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.
- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State/ U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes is available at the end.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

General Instructions:

- 1 Fields marked with '*' are mandatory fields.
- 2 Tick (\checkmark) wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (\checkmark) in the box available before the section number and strike off the sections not required to be updated.

Other Instructions:

If any proof of identity or address is in a foreign language, then translation into English is required. **A Clarification / Guidelines on filling 'Personal Details' section**

- 1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either father's name or spouse's name is to be mandatorily furnished.
- B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India
 - 1 Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- D Clarification / Guidelines on filling 'Proof of Address [PoA] Current / Permanent / Overseas Address details' section
 - 1 PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
 - 2 State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

- 1 To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
- 2 In case of multiple correspondence/local addresses, Please fill 'Annexure A1'

F 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 men tion 91-999999999).
- 2 Do not add '0' in the beginning of Mobile number.
- G Clarification / Guidelines on filling 'Related Person details' section
 - 1 Provide KYC number of related person if available.
- H Clarification / Guidelines on filling 'Related Person details Proof of Identity [Pol] of Related Person' section
 - 1 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.

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

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

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Coun Cod
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SⅣ
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	Sk
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SC
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mayotte	MX	South America South Georgia and the South Sandwich	GS
De se sel e sta sta	22		05			Islands	
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambigue	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	10	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TC
Burundi	BI	Hong Kong	НК	Niue	NU	Trinidad and Tobago	TT
CaboVerde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	КН	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	ΤN
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	τv
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PS	United Arab Emirates	AE
China	CN	Israel	IL		PA		
				Papua New Guinea		United Kingdom	GE
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UN
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	U
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	U
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VI
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	СК	Kenva	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kenya Kiribati	KI	Qatar			V
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Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	W
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao !Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy !Saint Barthélemy	BL	Zambia	ZN
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da	SH	Zimbabwe	ZV
Denmark	DK	Lebanon	LB	Cunha Saint Kitts and Nevis	KN		
	UK		LD		IN IN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		

UAE Exchange & Finance Ltd.

Corporate Identity Number: U85110KA1993PLC013994 Second Floor, Habeeb Tower, M G Road, Kochi - 682 011Tel : 0484 - 2370496, 2370497

CENTRAL KYC REGISTRY

KYC Application Form | Individual

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Prefix (Mr./Mrs./	Ms) Moth	er Nar	ne*																												
Date of B	irth*		D	D —	M	M -	- Y	Y	YY																			F	рнот	0	
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	4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS * (Please see instruction E at the end) Same as Current / Permanent / Overseas Address details (In case of multiple correspondence / local addresses, please fill 'Annexure A1') Line 1* Line 2 Line 2 Line 2 Line 4 Lin																																						
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Tel.(O	Tel.(Off) Tel.(Res) Mobile - FAX Email ID Email ID Image: Second																																						
FAX Email ID Emai																																							
	FAX Email ID Email ID G. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end) Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*) Image: Comparison of the end of th																																						
	6. DETAILS OF RELATED PERSON (In case of additional related persons, please fill 'Annexure B1') (please refer instruction G at the end) Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*) Image: Comparison of the c														1																								
	Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*) C																																						
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UAE Exchange & Finance Ltd.

Corporate Identity Number: U85110KA1993PLC013994
Second Floor, Habeeb Tower, M G Road, Kochi - 682 011Tel : 0484 - 2370496, 2370497

CENTRAL KYC REGISTRY KYC Application Form | Individual

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UAE Exchange & Finance Ltd. Corporate Identity Number: U85110KA1993PLC013994 Second Floor, Habeeb Tower, M G Road, Kochi - 682 011 Tel : 0484 - 2370496, 2370497

CENTRAL KYC REGISTRY KYC Application Form | Individual

	For office use only Application Type* New Update KYC Number Image: Comparison of the second se
Annex	ure B1
Relat	ed Person
Please	read the Instructions before filling the form.
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2. /	APPLICANT DECLARATION
	y declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held or it.
Date :	D D - M M - Y Y Y Place : Signature / Thumb Impression of Applicant
3. A	TTESTATION / FOR OFFICE USE ONLY
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UAE Exchange & Finance Ltd. Corporate Identity Number: U85110KA1993PLC013994 Second Floor, Habeeb Tower, M G Road, Kochi - 682 011Tel : 0484 - 2370496, 2370497

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UAE Exchange & Finance Ltd.

Corporate Identity Number: U85110KA1993PLC013994 Second Floor, Habeeb Tower, M G Road, Kochi - 682 011Tel : 0484 - 2370496, 2370497

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Date

Signature of the Authorised Signatory

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

IMPORTANT POINTS: Α.

В.

- 1
- Self attested copy of PAN card is mandatory for all clients. Copies of all the documents submitted by the applicant should 2. be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
- If any proof of identity or address is in a foreign language, then 3 translation into English is required.
- Name & address of the applicant mentioned on the KYC form, 4 should match with the documentary proof submitted.
- 5. If correspondence & permanent address are different, then proofs for both have to be submitted.
- 6 Sole proprietor must make the application in his individual name & capacity.
- 7. For non-residents and foreign nationals, [allowed to trade subject to RBI and FEMA guidelines], copy of passport/PIOCard/OCI Card and overseas address proof is mandatory.
- 8 For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given. In case of Merchant Navy NRI's, Mariner's declaration or certified
- 9. copy of CDC [Continuous Discharge Certificate] is to be submitted.
- 10 For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School leaving Certificate/ Mark sheet issued by Higher Secondary Board/Passport of Minor/ Birth Certificate must be provided.
- Politically Exposed Persons [PEP] are defined as individuals who 11 are or have been entrusted with prominent public functions, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.
- Proof of Identity[POI]: List of documents admissible as Proof of identity: PAN Card with photograph. This is a mandatory requirement for all applicants except those who are specifically exempt from
 - obtaining PAN[listed in Section D]. Unique identification Number [UID] [Aadhaar] / Passport / Voter 2 ID card / Driving license.
 - Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/regulatory authorities, Public Sector Undertakings, Schedules Commercials Banks, Public Financial Institutions, 3 Colleges affiliated to Universities, Professional Bodies such as ICAI,ICWAI, ICSI, Bar Counsil etc., to their Members; and Credit

cards/Debit cards issued by banks. Proof of Address [POA]: List of documents admissible as proof of c. Address: [* Documents having an expiry date should be valid on the date of submission.]

Passport/Voters Identity Card/Ration Card/Aadhaar Card/ Registered Lease or Sale Agreement of Residence/Driving License/

- Flat Maintenance bill/Insurance Copy. Utility bills like Telephone Bill [only land line]. Electricity bill or 2.
 - Gas bill Not more than 3 months old. Bank Account Statement/Passbook-Not more than 3 months old.
- 3 Self-declaration by High Court Supreme Court judges, giving the 4.
- new address in respect of their own accounts. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-operative Bank/ 5 Multinational Foreign Banks/Gazetted Officer/Notary public/ Elected representatives to the Legislative Assembly/Parliament/ Document issued by any Govt. or Statutory Authority.
- 6 Identity card/document with address, issued by any of the following Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertaking, Schedules Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
- For FII/sub account, Power of Attorney given by FII/sub-account 7. to the Custodians [which are duly notarized and/or apostiled or consularised] that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted. D. Exemptions clarifications to PAN [*Sufficient documentary evidence in support of such claims to be collected.]
 - In case of transactions undertaken on behalf of Central Government 1 and /or State Government and by officials appointed by Courts e.g. Officials liquidator, Court receive etc. 2.
 - UN entities/multilateral agencies exempt from paying taxes/filling 3. tax returns in India.
 - 4.
 - SIP of Mutual Funds up to Rs. 50000/- p.a. In case of Institutional clients, names, FIIs, Mfs, VCFs, FVCIs, 5 Schedules Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institutions as defined under Section 4A of the Companies Act, 1956, Custodians shall verify the PAN Card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

F

- List of people authorized to attest the documents: 1. Notary Public, Gazetted Officer, manager of a Schedules Commercial/Co-operative Bank or Multinational Foreign Banks [Name, designation & Seal should be affixed on the copy]
- In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, 2 Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.
- In case of Non-Individuals, additional documents to be obtained from F. non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	 Copy of the balance sheets for the last 2 financial years (to be submitted every year). Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD(to be submitted every year). Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly. Copies of the memorandum and Articles and certificate of incorporation. Copy of the Board Resolution for investment in securities market. Authorized signatories list with specimen signatures.
Partnership firm	 Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered partnership firms only). Copy of partnership deed. Authorized signatories list with specimen signatures. Photograph, POI, POA, PAN of Partners.
Trust	 Copy of the balance sheets for the last 2 financial years (to be submitted every year). Certificate of registration (for registered trust only). Copy of Trust deed. List of trustees certified by managing trustees/CA. Photograph, POI, POA, PAN of Trustees.
HUF	 PAN of HUF. Deed of declaration of HUF/List of coparceners. Bank passbook/Bank statement in the name of HUF. Photograph, POI, POA, PAN of Karta.
Unincorporated Association or a body of Individuals	 Proof of Existence/Constitution document. Resolution of the managing body & power of Attorney granted to transact business on its behalf. Authorized signatories list with specimen signatures.
Banks/Institutional Investors	Authorized signatories list with specimen signatures.
Foreign Institutional Investors (FII)	 Copy of SEBI Registration certificate. Authorized signatories list with specimen signatures.
Army/Government Bodies	 Self-certification on letter head. Authorized signatories list with specimen signatures.
Registered Society	 Copy of Registration Certificate under Societies Registration Act. List of Managing Committee members. Committee resolution for persons authorized to act as authorized signatories with specimen signatures. True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

Deta	ils of Promoters	Details of Promoters / Partners / Karta / Trustees and Whole Time Directors Forming A Part of Know Your Client (KYC) Application Form for Non-individuals	e Time Directors F	orming A Part of Know Your	Client (KYC) A	pplication Form	for Non-individuals
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Client	Client Type: Company / Partnership / Unincorporated Associations / Body of Individuals / Trust	Irtnership / Uninc	orporated Associ	ations / Body of Inc	lividuals / Trust		
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Date:			Place		Signature		
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rated Associations / Body of Individuals / Trust Client Tyne: Comnany / Partnershin / Ilninco

Details of the Ultimate Beneficial Owner (natureal person) in case of Non-individual account

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Client ID (To be filled	by Pa	rticipant)													
Type of Demat Account	-	ordinary Reside	ent 🗌 NRI -	Repatriable	NRI -	Non-Repatriable	Ma	argin 🗌 Pi	romoter		Oth	ers (pleas	se specify)		
Type of Trading Account	C	Ordinary Reside	ent 🗌 NRI -	Repatriable	NRI -	Non-Repatriable	Sole	Proprietor	Partne	ership 🗌 H	JF 🗌 Oth	ers (pleas	se specify)		
A. NAME OF T	HE /	APPLI	CANT												
Trading Account Holder Na	ame														
		Sole	/First Hold	or Dotai	le	Solo	/Secor	d Holder	Dotai	ile	So	lo/Thir	d Holde	or Dota	ule
	-	3016		ei Delai	15	3016			Detai	15	30		u i ioiut		
DP Holder Name															
B. OTHER DET		6	_					_							_
			is made manda	atory to regi	ster Powe	r of Attorney in	demat ad	count. Ensu	re that th	ne mobile nu	ımber is pro	vided in	the KYC A	pplicatio	n Form.)
SMS Facility			Yes	No			Yes				_	Yes		No	
Gross Annual		Below 1		-5 Lac		Below		🗆 1-5 La			Below		□1-5		
Income Details (pleas	se	□ 5-10 La		0-25 Lac 50 Lacs to	1 Croro	□ 5-10 L □ 25-50		□ 10-25 □ 50 La			5-10 La			25 Lac	1 Crore
specify) Income Rang	ge	□ 25-50 L □ 1-5 Cro		5-10 Crore		$\square 25-50$		□ 50 La			25-50 L 1-5 Cro			0 Crore	
per annum		□ > 10 Cr			,	□ > 10 C			01010		> 10 Cr			0 01010	
OR O															
	,														
If Mobile #/Email id used		lobile	Self	Spouse			lf 🗌	Spouse				lf 🗌		se 🗌	
belongs to a different person, specify the	IV	JODIle	Dependent Dependent				penden penden					penden nenden	t Child t Parent	H	
dependent relationship a	&		•												
PAN (Mark "SELF" in ca of own Mobile #/Email ic	ase d) F	mail	Self Dependent	Spouse			lf 🗌 pendeni	Spouse				lf 🗌 penden	Spou t Child	se 🗌	
(TICK correct one)	u)		Dependent				pendent						t Parent		
Please tick,		Politicall	y Exposed P		:P)			sed Perso	n (PFP	יי ר			sed Per	son (PF	P)
if applicable			a Politically Exp					ally Exposed					ally Expos		
Name of Employer/	'														
Establishment with															
full address															
Designation															
Goods & Service Tax N	No.														
I declare that I don't h	nave (l	n the case	e of trading a	account l	holder)			Mc	bile		Em	ail			
C. GUARDIAN	DET	TAILS (In case th	e Sole I	Holder	is a mino	r - Apj	olicable	for D	emat Ao	count o	only)			
Name								P	AN						
Relationship (ifany)						Date of	Birth* (of Minor))						
Address (Submit va						1		,					I	I	
Proof of Àddress									_			_			
D. STANDING							-	_	-	_					
I/We authorise you t														No	
Account to be opera		<u> </u>		orney (Po	oA) (If y	es, ensure	SMS a	ilert facili	ty is o	pted.)				No	
Download of Email I	ID to I	ssuer/R&	T Agent										s [No	
I/We authorise you t	to sen	d all com	munication	s/staten	nents th	rough the	e-mail	only*				🗆 Ye	s [∃No	
Address for commun (Default option is Lo			ate Benefit	S				nanent A dence A		-	Addres	SS			

*All communication shall be sent at the email ID/correspondence address of the Sole/First holder only. Read Instruction 4 in page no.24 and ensure that email ID is provided in KYC Application Form. Please ensure the correctness of e-mail address in the KYC Application Form.

E. BANK DETAILS	TRADING ACCOUNT	DEMAT ACCOUNT
Bank A/c No.	In case of NRIs, give PIS bank account details separately for trading A/C*	(In case of NRIs NRE/NRO SB A/C No)
Bank Sub-type	Savings Account Current Account Others	Savings Account Current Account NRE NRO
Bank Name (Full name)		
	Building/Tower/Appartment/Palace/Chamber/Mansion	Building/Tower/Appartment/Palace/Chamber/Mansion
Bank Branch Address	Street/Road/Marg/Lane/Avenue/Rasta	Street/Road/Marg/Lane/Avenue/Rasta
(Write as per the manner discribed)	Area Name	Area Name
	City Name	City Name
	PIN CODE	PIN CODE
MICR Number		
IFSC Number		
In case of NRIs, RBI Reference No.*		
RBI Approval Date		D D M M Y Y Y
F. TRADING P	REFERENCES	

*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.

Exchanges			egments	en should be struck on by the client.
	Cash	(Full signature required)	Currency Derivative	(Full signature required)
NSE	F&O	(Full signature required)	Debt Market	(Full signature required)
	Mutual Fund (MFSS)	(Full signature required)		
	Cash	(Full signature required)	Currency Derivative	E (Full signature required)
BSE	F&O	(Full signature required)	Debt Market	(Full signature required)
	Mutual Fund	(Full signature required)		
MSEI	Cash	(Full signature required)	Currency Derivative	(Full signature required)
	F&O	(Full signature required)	·	·

If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.

G. DOCUMENTARY		NANCIAL DETAILS FOR	Dank Ctatament	Others, Please Specify
H. DEPOSITORY AC	CCOUNT DETAILS (II	n case of other DP Account Holder, Dem	at master or recent holding statement	issued by DP bearing name of the client)
Depository Participant Name	Depository Name (NSDL/CDSL)	Beneficiary Name	DPID	Beneficiary ID (BO ID)
I. PAST ACTIONS	\$		·	
		Bl/ Stock exchange/any other authority a		
against the applicant/constituent	t or its Partners/promoters/whole	e time directors/authorized persons in ch	arge of dealing in securities during the	e last 3 years
J. DEALINGS TH	ROUGH SUB-BRO	KERS AND OTHER S	TOCK BROKERS	
If client is dealing through the sub-broker,	Sub-broker's Name:			
provide the following	NSE SEBI Registration numb	er		
	BSE SEBI Registration numb	er		
	Registered office address			
	Phone	Fax	Website	
Whether dealing with any other stock broker/sub-broker	Name of stock broker		Name of Sub-Brok if any	ker,
(if case dealing with multiple stock brokers/sub-brokers,	Client Code		Exchange	
	Details of disputes/dues p	pending from/to such stock broker/si	ub-broker	
K. ADDITIONAL I				
Whether you wish to receive	e Electronic Contract	Electronic Contact	Note Physica	al Contact Note

Whether you wish to receive Electronic Contract Note or Physical Contract Note (ECN) please specify	Electronic Contact Note		Physical Contact Note	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	Yes		No	
Number of years of Investment/Trading Experience				
In case of sole proprietor/partnership, please indicate the name and address of the firm				
SMS and email alerts to investors by stock exhcanges. (Please tick whichever is applicable. If not ticked, assumed 'Not Required')	SMS	Email	Not Required	
Any other information				

L. INTRODUCER DETAILS (optional)						
Name of the Introducer	(Surname)	(Name)	(Middle Name)			
Status of the Introducer	Sub-broker	Remiser [Authorized Person			
	Existing Client	Others, please specify _				
Addres of the Introducer						
Phone Number						
Signature of the Introducer						

M. RELATIVE OF UAE EXCHANGE EMPLOYEE (For Trading)					
Are you a relative of UAE Exchange employee?	Yes	No			
If yes, please indicate your relationship with the employee	Parent	Parent-in-law Sibling Spouse Child			
Employee code:					
Employee name :					

N. OTHER DETAILS - NON-INDIVIDUALS							
Is the entity involved/ providing any of the following services	For Foreign Exchange / Money Changer Services	Yes	No				
	Gaming / Gambling / Lottery Services (eg. Casinos, betting syndicates)	Yes	No				
	Money Lending / Pawning	Yes	No				

O. NOMINATION D	DETAILS	FOR TRADING A	CCOUNT HOLD	ER (for individua	ls only)
] I/We wish	to nominate		Ve do not wish to nom	inate
Name of the Nominee				Relationship with the	e Applicant
PAN of Nominee				Date of Birth of Nom	inee
Address and phone no. of the Nominee:					
If Nominee is a mino	or, details	s of guardian:			
Name of guardian					
Address and phone no. of Guardian:				Signature of Guardia	n
WITNESSES (Only appli	icable in ca	ase the account holder	r has made nominati	ion)	
Name			Address		Signature

Ρ	. NOMINATIO	N DETAILS FOI	R DEMAT A	CCOUNT H	IOLDER (Please	read the instru	uction given below b	efore filling)
				(FROM	10)			
			(To be filled in	•	oplying singly or joi	ntly)		
Da	te D D	M M Y Y	YYD	PID I N		Client ID		
L	I/We wish to ma	ake a nomination. [A	s per derails giv	en below]				
	I/We do not wis	sh to make a nominat	tion [<i>strike off th</i>	ne nomination de	etails below]			
No	omination Details							
I/V us	We wish to make a no in the said beneficial	mination and do here	by nominate the event of my/	e following perso our death.	on(s) who shall rece	ive all securitie	es held in the Depos	itory by me /
No	omination can be m ominees in the acco	ade upto three		st Nominee	Details of 2 nd I	Nominee	Details of 3rd N	lominee
1	Name of the nomi	inne(s) (Mr./Ms.)						
2	Share of each Nominee	Equally		%		%		%
	Nommee	[If not equally, please specify percentage]	Any odd Io	t after division sh	all be transferred to	the first nomine	ee mentioned in the f	orm.
3	Relationship With	1 71 01	,					
	Any)							
4	Address of Nomin	iee(s)						
	Г	PIN Code			Γ			
5	Mobile/Telephone							
6	Email ID of nomin Nominee Identifica	()						
	[Please tick any on provide details of sa	e of following and						
		gnature						
Sr	Nos. 8-14 should b	e filled only if nomir	nee(s) is a min	or:				
	Date of Birth {in nominee(s)}	,						
9	Name of Guardia {in case of mino	an (Mr./Ms.) r nominee(s)}						
10								
	Г	PIN Code						
11	Mobile/Telephone							
12	•							
13	Relationship of G nominee	uardian with						
14	Guardian Identific [Please tick any on provide details of sa	e of following and						
	Photograph & Sig Aadhaar Savin Proof of Identity ID	gnature						

Name(s) of holder(s)						Signature(s) of holder					
Sole/ First Holder/ Guardian (<i>in case sole holder is minor</i>) (Mr./Ms.)							Х				
Second Holder (Mr./Ms.)							Х				
Third Holder (Mr./Ms.)							Х				
	Signature of Witness for Nomination	1									
Name of the Witness	Address			Sigr	natur	e of v	vitne	ess			
		Date	D	D	M	M	Y	Y	Y	Y	

Note:

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

Q. DECLARATION

1.	The rules and regulations of the Depository and Depository Participants/Capital Market pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I / we may be held liable for it. In case of nonresident account, I/we also declare that I / we have complied and will continue to comply with FEMA regulations.
2.	I/we understand and acknowledge the fact that I/we am/are at liberty to withdraw all or any of the information provided by me/us and the same shall be made by me/us in writing. I/we confirm and accept that such withdrawal shall entitle you to withdraw all or any of the services provided to me/us under the account opening documentation.
3.	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.
4.	I/We further confirm having read and understood the contents of the "Standard Documents"
	 Rights and Obligations of stock broker, sub-broker and client for trading on Exchanges [including additional rights & obligations in case of internet/wireless technology based trading];
	b) Rights and obligations of beneficial owner and depository participant as prescribed by SEBI and depositories ;
	c) Uniform Risk Disclosure Documents [For all segments/exchanges];
	d) Guidance note detailing Do's and Don'ts for trading on stock exchanges;
	Note: The above mentioned documents [a, c,d] in the vernacular languages are available in our website.
	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.
5.	[In the case of clients who have opened only DP accounts] I/We confirm having read and understood the contents of the Standard Documents.
	• Rights and Obligations of beneficial owner and depository participant as prescribed by SEBI and Depositories.
6.*	I/We also understand the "Additional Rights and Obligations for Broking and Other Products and services" and acknowledge that this is Voluntary [non-mandatory] document for availing value added products and services as provided by UAE Exchange and unconditionally agree to abide by the terms and conditions mentioned therein.
	* Strikeout if not applicable
	I/We would like to receive the copy of the KYC & Standard Documents:- Physical Mode *Electronic Mode
	*[If you require the document through electronic mode please ensure that you have registered your email id with us].

Name of Trading Account Holder		Signature : (Full signature required)		quired)
	Sole/First Holder / Guardian (in	Second Hold	der (Mr. / Mrs.) Second	Third Holder (Mr. / Mrs.) Third

Name of Demat Account Holder(s)	Sole/First Holder / Guardian (in case of minor) (Mr. / Mrs.) First Signatory (Authorised Signatories)	Second Holder (Mr. / Mrs.) Second Signatory (Authorised Signatories)	Third Holder (Mr. / Mrs.) Third Signatory (Authorised Signatories)
Signature(s)	(Full signature required)	(Full signature required)	(Full signature required)

Place :

INSTRUCTIONS/ CHECK LIST

 Additional documents in case of trading in derivatives segments - illustrative list: Copy of ITR Acknowledgement Copy of Annual Accounts

In case of salary income - Salary Slip, Copy of Form 16. Net worth certificate.

Copy of demat account holding statement. Bank account statement for last 6 months.

Any other relevant documents substantiating ownership of assets. Self declaration with relevant supporting documents.

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

- 2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
- 3. For individuals:
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
- 4. For receiving Statement of Account in electronic form:
 - a. Client must ensure the confidentiality of the password of the email account.
 - b. Client must promptly inform the Participant if the email address has changed.
 - c. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- 5. Politically Exposed Persons [PEP] are defined as individuals who are or have been entrusted with prominent public functions, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

		FOR OFFIC	E USE ONL	ſ		
UCC Code allotted to the	Client					
DP ID :	□ 1205 ⁴	800 🗌 Not Applie	cable			
	Docu	ments verified with C	Driginals	Client Interviewed by		
Name of the Employee						
Employee Code						
Designation of the empl	oyee					
Date						
Signature						
Place						
				e non-mandatory documents. I/We have also made the		
that any change in the 'Polic	cy and Procedures', tariff she	eet and all the non-man	datory documents wo	In thim a copy of all the KYC do cuments. I/We undertake buld be duly intimated to the clients. I/We also undertake website, if any, for the information of the clients.		
Signature of the Branch Manager Date :				Seal/Stamp of Authorized Intermediary (Branch/Sub-broker/Authorised Person)		
DETAILS OF LEAD GENERATOR FOR TRADING BENEFITS						
Employee name						
Employee Code						
Lead ID						

Mandatory

SCHEDULE OF CHARGES FOR TRADING CLIENTS

EQUITY CASI	H SEGMEN	іт												
Offline					Online (Not applicable for NRI clients)									
Delivery Brokera	ge	Intraday Bro	kerage	Daily Volume	Delivery Broke	erage	Intraday Bro	kerage						
0.50%	-	0-25 Lac		0.05%	0.3%		0.03%							
		25-50 Lac		0.04%										
		50 Lac - 1 (Cr	0.035%										
		1 Cr & Abo	ve	0.03%										
DERIVATIVE	SEGMENT													
Stock Futures		Index Futur	es		Futures	Option	ns (Lot wise)	Currency						
0-25 Lac	0.05%	0-10 Lac		0.05%		Intraday	Carry Forward							
25-50 Lac	0.04%	10-50 Lac		0.04%	0.03%	Rs 125 ner	lot Rs 150 per lot	Same as offline						
50 Lac to 1 Cr	0.035%	50 Lac to 2	2 Cr	0.03%		· ·								
1 Cr & Above	0.03%	2 Cr to 5 Cr	•	0.025%			f Online trades							
	•	5 Cr and At	oove	0.02%	Rs 20/- per cont	tract or 1 pais	e per share which	ever is higher. Both						
Options (Lot w	ise)	1					25 per share/deber enture whichever i	ture or 2.5% of the						
Intraday	CarryForwa	rd						•						
Rs 150 per lot	Rs 200 per				In case the contr	act note is del	ivered by post then	Rs 20/- per contract pject to maximum of						
Currency	1.0200 por	lot			Rs 0 25 per sha	re/debenture (or 2.5% of the cont	act price per share/						
Instrument	Symbol	Brokerage	ner lot	(Rs)	Rs 0.25 per share/debenture or 2.5% of the contract price per share/ debenture whichever is higher.									
FUTCUR	EURINR			n both sides)	Minimum Brokerage of derivative segment both offline									
FUTCUR	GBPINR			on both sides)	and online tra	ades.	aonnaire eogn							
FUTCUR	JPYINR			on both sides)	Rs 50/- per order for every off line order (executed) using the branch set									
FUTCUR &	USDINR			on both sides)	up in Currency and F&O segment.									
OPTCUR					Both subject to r	maximum of 2	.5% of premium an	nount or 100 Rs per						
The Brokerage for I	nterest Rate Fu	tures segment	t (IRF) =	0.02% on the	lot whichever is	higher.	·							
value of the contra		Ū	()		Brokerage in Ex	kpiry/Exercise	e/ Assignment of D	erivative contracts:						
Minimum Brok	erage of O	ffline trade	es.		Nil		·							
DCN+POA Clients: Rs or 1 paise per share v	s.20 per order for	every order (ex	ecuted),	Rs.20 per Scrip simal places.										
NON-DCN/NON-F (executed), Rs 30/- round off to two de	per scrip or 5 p	Rs.20 per or baise per share	der for e which	every order ever is higher,	SCHEDULE OF CHARGES FOR NRI CLIENTS: Separate sheet attached									
Contract wise Rs.3 Punjab/Gujarat/ W	0/- Minimum a B/MP/Jammu	applicable to F & Kashmir st	Rajastha ates.	an/ UP/Delhi/										
Both subject to may the contract price					1									
								splay of the same on oklet as part of KYC						
Statuton Char	noe (Annlie-		00.000	1	*Miscellaneo	us Charges	6							
Statutory Charge Online Clients				1	SMS Alert Service		Rs 100/- per month							
		• •			Printed Statement			through ordinary post)						
Securities Tra	nsaction Ta	ax (STT)			Cheque Bounce/Ca		Rs 250/-							
Delivery in Cash			0.10%		Interest on delayed	-	24% per annum. Su							
Intraday in Cash o		side	0.025		*Inter-Settlement Charges (For Clients who have Demat Account with UAE Exchanges Regular Service Demat Account (RSDA) Basic Service Demat Account (BSDA)									
Futures only on se	<u> </u>		0.01%		Electronic	Physical								
Options only on se			0.05%		Communication	Communicat	ion Electronic	Physical Communication						
Sale of an option,	where option is	sexercised	0.125	%	0.02% subject to a	0.02% subject minimum of Rs	to a 0.05% subject to	o a 0.05% subject to a						
Goods & Service	Tax (GST)		18%		minimum of Rs.15/-	50/- minimum of Rs.75/-								
*Exchange Levy			As ap	plicable from	om and maximum of Rs.40/- per transaction. Rs.40/- per transaction. Rs.75/- per transaction.									
Stamp Duty				o time				ccount with UAE Exchange)						
*All charges are exc	clusive of taxes	Levies and ot	her stat	utory charges	Who avail electronic 0.02% subject to a r and maximum of Rs	c communication minimum of Rs.1	Who avail phys 5/- 0.02% subject t	ical communication o a minimum of Rs.20/- f Rs.40/- per transaction.						

SCHEDULE OF CHARGES-DEPOSITORY SERVICES

SCHED	ULE OF CHARGES-DEPOSITOR	RY SERVICES				
Description of Charges	Regular Services Demat Account (RSDA)	Basic Services Demat Account (BSDA)				
Account Opening Charge	Nil(Statutory Charges applicable)	Nil(Statutory Charges applicable)				
Dematerialisation Charges	Nil + Courier charges @ Rs.35/- per request	Nil + Courier charges @ Rs.35/- per request				
Rematerialisation Charges	Rs.10 for every hundred securities or part thereof;}	Rs.10 for every hundred securities or part thereof;}				
	or Rs.10 per certificate, whichever is higher}+	or Rs.10 per certificate, whichever is higher}+				
	courier charges Rs.35 per scrip. This is subject	courier charges Rs.35 per scrip. This is subject				
O stad. Observes	to a maximum of Rs.5 Lakh per request	to a maximum of Rs.5 Lakh per request				
Custody Charges	Nil	Nil				
Transaction Charges {Late Submission of DIS i.e received on pay	-in day, will be charged Rs.25/- per transactio	n}				
A – Market Trades	0.02 % subject to a minimum of Rs.15/- and	0.05% subject to a minimum of Rs.50/- and				
	maximum of Rs.40/- per transaction, if the	Rs. 75/- maximum per transaction if the				
a) For transaction through UAE Exchange	delivery is through POA/Speed-e with DCN	delivery is through POA/Speed-e with DCN				
Debit (Sales)	0.02% subject to a minimum of Rs.20/- and	0.05% subject to a minimum of Rs.75/-and				
	maximum of Rs.40/- per transaction, if the	maximum Rs. 100/- per transaction for Non DCN clients				
	delivery is through DIS or POA without DCN	cients				
Credit (Purchase)	Nil	Nil				
b) For transaction through other brokers	0.02% subject to a minimum of Rs.50/- and	0.05% subject to a minimum of Rs.100/- and				
	maximum of Rs.100/- per Transaction	maximum of Rs.150/- per transaction				
Debit (Sales)Credit	Nil	Nil				
B – Off Market Trades	0.02 % subject to a minimum of Rs.20/- and	0.05 % subject to a minimum of Rs.50/- and				
Debit (Sales)	maximum of Rs.40/- per transaction, if the receiving demat accounts is with UAE	maximum of Rs.75/- per transaction, if the receiving demat accounts is with UAE				
	Exchange. If the receiving demat account	Exchange.If the receiving demat account				
	is outside UAE Exchange, then 0.02%	is outside UAE Exchange, then 0.05%				
	subject to a minimum of Rs.507- and maximum	subject to a minimum of Rs.100/- and maximum				
	of Rs.100/- per transaction	of Rs.150/- per transaction				
Credit	Nil	Nil				
Pledge Charges						
Pledge creation	Rs.50/- per transaction	Rs.100/- per transaction				
Pledge closure	Nil	Nil				
Pledge Invocation	Rs.50/- per transaction	Rs.100 per transaction				
Annual Maintenance Charges						
i. Resident Accounts	Rs.600/-	BSDA Type 1: Nil for holding value till				
Resident Accounts using electronic	Rs.450/- (Not applicable in first FY for new	Rs.50,000/-				
communication (DCN)	clients)					
New Clients	Rs.600/- payable equally in 4 Quarterly Installments of Rs.150/- each for first FY					
ii. NRIs Accounts	Rs.2000/-					
ii. NRIs Accounts iii. NRI Accounts using electronic	Rs.2000/- Rs.750/- (Not applicable in first FY/quarter for	BSDA Type 2: Rs.100/- p.a. for holding value				
communication (DCN)	new clients)	from Rs.50,001 to Rs.2,00,000/-				
Speed-e Advance	Rs.1000/- for clients who trade with other brokers					
Speed-e AMC	Rs.100/-	Holding value above Rs.2,00,000/- the tariff for RSDA will be applicable.				
iv. Corporate Account	Rs.1250/-					

Additional printout of statements will be charged @Rs.25/- per statement per account

Note :

- ✤ All charges are exclusive of taxes, levies and other statutory charges
- Charges are collected upfront by Cash/local cheque/DD or it will be debited to trading account of Sole/Joint demat account hold er maintained with UAE Exchange.
- Interest of 24% p.a would be charged on the dues amount from the due date.
- For BSDA account value of holding will be determined on a daily basis ,account will be levied higher applicable AMC on value of holding exceeding prescribed limit from the next day of exceeding such limit.
- As and when an account becomes RSDA, automatically RSDA charges will be applied.







		Non-mandatory	On Stamp paper of Rs.	100
	POWER OF ATTORNEY F	OR BROKING AND OTH	IER PRODUCTS & SERVICES	
THI	IS POWER OF ATTORNEY MADE AT	THIS	DAY OF20B	Y:
		an Indian, residing at		
			(hereinafter referred to as t	he
" C	lient " or " Holder ") which expression s	hall, unless repugnant to the	context or meaning thereof, be deemed	to
	an and include its executors, administ	rators, successors and assig	gns;	
AN 1)	D *	an Indian, residii	ng at	
2)		an Indian, residi	ng at	
3)		an Indian, residii	ng at	
	with Demat Account in the following m	anner a) DP ID	client ID	
			c)DPID	
	Holders* " as the case may be (*only repugnant to the context or meaning there and assigns of the First Part, IN FAVOU provisions of the Companies Act, 1956 Office at : Second Floor, Habeeb Tow expression shall, unless repugnant to the tors, administrators, successors and as broker of National Stock Exchange of Ir market segment with CM BPID IN5025	when the Demat a/c is in joir cof, be deemed to mean and incl R OF UAE Exchange & Fina , (hereinafter referred to as "I ver, M G Road, Kochi - 682 C he context or meaning thereof, asigns by way of amalgamatic ridia Ltd. (NSE) [SEBI registration 548 & Pool account No. 1205	count Holder" or "Joint Demat Account names)], which expression shall, unleaded its executors, administrators, successed nce Ltd., a company incorporated under the JAE Exchange") having its Administration (11 Tel : 0484 - 2370496, 2370497, which be deemed to mean and include its exect on and/or merger and registered as a station for number INB 230655838 in the capit 180000007038, IN30001110004714, Ea 17038 CM BPID IN502548], BSE Ltd in the	ess ors the ive ich cu- ock tal arly

WHEREAS :

 UAE Exchange, in its capacity as a stockbroker entered into a Member Client Agreement(s) (the said "Agreement") for providing the trading facilities on National Stock Exchange of India Ltd. (NSE) and Bombay Stock Exchange Limited (BSE) (collectively with the exchange) and for investment in various investment products in the nature of Mutual Funds, Bonds, IPOs, etc.;

capital market segment with CMBPID IN666747 & Pool account No. 1205180000099806, IN30133021862567,

Early payin account 1100001000023935, of the Second Part.

- The Client is desirous of availing such trading facilities and products & services provided/ to be provided by UAE Exchange online and or offline /and the MT Facility, subject to the terms and conditions stipulated by UAE Exchange and such other terms as may be amended from time to time on its website or otherwise under the said Agreement;
- 3. The Joint Demat Account Holders, hold jointly with the Holder a demat account with a UAE Exchange & Finance Ltd., a depository participant ("DP")



(Full signature required) Second Holder in Demat A/c



4. As a consideration for providing the trading facility and also for availing the products & services to the Holder to transact under the said Agreement and to facilitate execution of all transactions, online and/or offline, the Holder and/or Joint Demat Account Holders agree to provide the power to UAE Exchange to execute, confirm and complete all transactions of all deals for and on behalf of the said Parties and to give effect to the terms of the said Agreement and/or other deeds/ agreements executed in favour of UAE Exchange and/or its affiliate concerns NOW THEREFORE THIS POWER OF ATTORNEY WITNESSETH THAT: We, the Parties of the First Part, do hereby nominate, appoint and constitute UAE Exchange as our true and lawful attorneys to do, execute and perform or cause to be done, executed and performed, the following acts, deeds and things or any of them for and on my/our behalf namely:

AUTHORIZATION TO UAE Exchange

- 1. To operate demat accounts, with the said DP, in the name(s) of "Holder" and "Joint Demat Account Holders" so far as reasonably practical to facilitate the transactions for purchase and sale of securities on the Exchanges in the name of the Holder and other products & services or combination there of having the Holder as the sole/ #first holder or any other holder, as UAE Exchange may deem fit in its sole discretion with the said DP.(# delete if not applicable)
- 2. To sign and execute necessary documents, forms, agreements, undertakings, confirmations, declaration etc. and to accept terms & conditions, on my/our behalf for the purpose of operating such Demat Account(s).
- 3. To operate the Demat Accounts maintained with UAE Exchange to meet all obligations of the Holder in terms of the said Agreement/s for transactions done/to be done on instructions of the Holder and to give other instructions relating to the Demat Account(s), for matters concerning the transaction in securities. In event the designated Demat Accounts with UAE Exchange for carrying out transactions is closed or transferred, for any reason whatsoever, and the Holder instructs UAE Exchange, in such manner as may be acceptable to UAE Exchange, for substitution of new Demat Accounts in place of the demat Account as designated, all the terms and conditions of these presents shall likewise extend and apply to all such new/substituted Demat Accounts. This Power of Attorney would be deemed to extend to any Demat account opened by us in addition, substitution or replacement of the Demat account that gets linked to the Investment account with UAE Exchange. This Power of Attorney would also be deemed to extend to block/mark lien on securities in the aforesaid Demat Account(s) or any other demat account(s) asmay be opened from time to time in pursuance of these presents and/or to credit the Demat Account(s) with securities due to us.
- 4. We, the joint demat account holders, do hereby understand, agree and acknowledge that, by virtue of such joint holder ship, our names may also be required to be entered in the relevant application/ instruction forms that are being submitted for the purposes stated herein on behalf of the holder. We fully agree to such naming in the forms and further agree to hold UAE Exchange harmless in any related queries by any Authorities or Regulators and also not to raise any claim or dispute against UAE Exchange for such filling up of names.
- 5. To authorize, to instruct the said DP to debit our Demat Account(s), towards securities due to UAE Exchange, and to discharge all obligation in this regard on our behalf to UAE Exchange arising as a result of Agreement/s between UAE Exchange and me/us. I/We hereby agree that the instruction of UAE Exchange to the said DP to transfer the securities out of my/our Demat Account to the Demat Account of UAE Exchange shall be deemed to have been my/ our instructions and the said DP have no necessity to enquire about the obligations towards which such transfers are effected by UAE Exchange or any third party service provider.
- 6. To debit trading account/investment account towards monies/ fees/ charges /securities, etc. payable /due to UAE Exchange, in relation to transactions in securities executed through UAE Exchange, while carrying out the transaction for payment or otherwise or for subscribing to any products, services, facilitated by UAE Exchange or any third party service provider, only debiting of investment account will be pursuant to the receipt of instruction from the client.
- 7. To do all things necessary for and incidental to availing /repayment of dues for such transactions in securities executed by the Holder including pledging of scrips, stocks, securities, bonds, debentures, mutual fund units, units of any collective investment scheme or any other security or financial instrument on behalf of me/us through UAE Exchange for margins or other obligations or liabilities or releasing the pledge/lien/block on the securities.
- 8. To apply for, redeem, and to do all things necessary, relevant and ancillary in this regards, for various investment products in the nature of Mutual Fund, Bonds, Insurance Policies, IPO's etc. and to effect necessary payment for the same pursuant to the receipt of instruction from the client.
- 9. We expressly authorise UAE Exchange to deposit/pledge securities in my/our Demat Account as collaterals with the exchange(s), in connection with to trades executed by me/us on the stock exchange through UAE Exchange, if UAE Exchange so desires to avail exposure against the said collaterals.



(Full signature required) Second Holder in Demat A/c



- 10. This PoA is executed on the firm understanding received from UAE Exchange that, UAE Exchange would return the securities or funds that would have been received by UAE Exchange erroneously or without authority from me/us.
- 11. AND GENERALLY to do or cause to be done every other acts, deeds, matter or thing, as UAE Exchange may deem necessary or expedient for the purpose of or in relation to these presents. We hereby declare that all and every receipts made, executed or done for the aforesaid Products and Services by virtue of these presents shall be as good, valid and effectual to all intents and purposes whatsoever as if the same had been made, executed or done by us in our own name(s). We hereby ratify and confirm and agree to ratify and confirm all that UAE Exchange or any of their respective Officers shall do or cause to be done in or concerning the premises by virtue of these presents.
- 12. It is specifically made clear herein that this Power of Attorney shall be cancelled or revoked at any time without any notice from my/our side. However such cancellation or revocation shall not be applicable to those obligations arising out of the trades carried out prior to receiving request for cancellation or revocation of the POA. Such obligations owed by me/us shall be carried out by UAE Exchange at its Liberty, for which I/we shall not raise any objection.
- 13. It is also made clear hereby that, by virtue of me/us executing this Power of Attorny, UAE Exchange may send a consolidated summary of my/our scrip-wise buy and sell positions taken with average rates by way of an SMS/email on a daily basis, in addition to the normal documents being received from UAE Exchange.

Name of the Tr	ading Account Holder:		ature of the Trading Account Holder
1) Name of Der	mat Account Holder:	Demat	Account No:
First Holder		Signature:	(Full signature required)
Second Holder		Signature:	(Full signature required)
Third Holder		Signature:	(Full signature required)

2) Name of Demat Account Holder:	Demat Account No:
First Holder	Signature: (Full signature required)
Second Holder	Signature: (Full signature required)
Third Holder	Signature: (Full signature required)

In order to facilitate operations of my/our trading account opened, I /We would like to authorise UAE Exchange & Finance Ltd. to maintain a running account, instead of settlement-to-settlement clearance of funds / securities due to me/us. I hereby authorize UAE Exchange to maintain a running account.

I/We shall prefer settlement of fund/securities once in A calendar quarter or A calendar month (tick any one)

Such settlement will be done by UAE Exchange on any day at its discretion in a calendar month or quarter as the case may be.

Further I/we authorize UAE Exchange to maintain a sum of Rs.10000 towards charges on my Demat account and on other services. In case there is no trading transaction during the month or quarter fund will be fully settled.

I/We am/are aware that the authorization may be revoked by me/us any time at my/our own discretion without any advance notice. UAE Exchange may release the funds/securities to me/us on my/our on settlement date or on request or onrevocation of authority, if sufficient margins in respect of my/our trading, across the Stock Exchange(s) and across the segment of the Stock Exchange(s) are available with UAE Exchange.

Name of the Client	
Trade code	
Branch Name	
Place	
Date	

~...

. .

To.

(Full signature required) (Name & Signature of the Client

MANDATORY FOR NRICLIENTS

NRI UNDERTAKING FOR NRE PIS ACCOUNT

UAE Exchange & Finance Ltd. Administrative Office: Second Floor, Habeeb Tower, M G Road, Kochi - 682 011 Sub: Submission of contract note to PIS Bank Dear Sir. I, Mr./Ms......aged, S/D/W/ of....., residing at.....hereby agree and undertakes as follows: Whereas I have registered with M/s. UAE Exchange & Finance Ltd., Administrative Office: Second Floor, 1. be able to trade on the Indian Stock Exchanges. 2. Whereas the Securities and Exchange Board of India (SEBI) and the Reserve Bank of India (RBI) have promulgated special rules and regulations applicable to NRIs who trade on Indian Stock Exchanges. I hereby agree and undertake the following: 3. I agree to submit the Contract notes to my Bank..... Branch, within 24 hrs of said trades. 4. I understand and agree to abide by the SEBI/RBI rule that prohibits me from short-sell ing securities and netting of trades. 5. I understand and agree to abide by the RBI regulation which requires that my PIS bank account be fully pre-funded. I undertake to always ensure that my PIS bank account tied to my trading account will have clear credit balance to cover the combined value of the stock/s to be purchased brokerage and all applicable statutory charges before executing trades. 6. I undertake to abide by all other rules applicable to my trading in the Indian Stock Exchanges as an NRI, either existing or enjoined at a later date. 7. In the event of my committing a breach of any of the above described regulations, UAE Exchange shall beat liberty to deactivate my trading account and I shall not raise any claim or dispute against UAE Exchange, for the said action. Place..... (Full signature required) (Name & Signature of the Client/ Authorised Signatory) Date.....

FOR NRO NON-PIS CLIENTS

NRI UNDERTAKING - INVESTING UNDER NON - REPATRIATION BASIS

To, UAE Exchange & Finance Ltd.

Administrative Office: Second Floor, Habeeb Tower, M G Road, Kochi - 682 011

Sub: Undertaking as an NRI trading under NRO status

Dear Sir	
I,Mr./Ms	aged
	residing at

here by agree and undertake as follows:

- Whereas, I have registered with M/s UAE Exchange & Finance Ltd., Administrative Office: Second Floor, Habeeb Tower, M G Road, Kochi - 682 011 as an NRI Client under NRO status(Non - Repatriation basis)as per the KYC Terms and Conditions & Rights and Obligations executed on to trade on the Stock Exchanges in India.
- 2. Whereas, the Securities and Exchange Board of India (SEBI) and Reserve Bank of India (RBI) have promulgated special rules and regulations applicable to NRIs who trade on Indian Stock Exchanges.
- 3. I affirm and agree to abide by the SEBI/RBI rules that prohibit short-selling securities and netting of trades.
- 4. I affirm and agree that the Sale / Maturity proceeds of the securities or units acquired shall be credited to my NRO account irrespective of the type of account from which the considerations for acquisition were paid.
- 5. I affirm and agree that the amount invested under this scheme and the capital appreciation thereon shall not be allowed to be repatriated abroad under any circumstances.
- 6. I affirm and agree that UAE Exchange shall calculate and deduct the applicable taxes as per the prevailing tax norms in India and shall pay only the net amount after taxes to my NRO account for which TDS certificate shall be issued.
- 7. I shall intimate UAE Exchange and give a suitable declaration of the cost and date of purchase of the securities held by me.
- 8. Further, I shall intimate UAE Exchange about any change in the status of security holdings on account of corporate actions or otherwise (IPO/FPO, Rights, Buy back, ESOPs, off market transfers etc) to facilitate proper capital gains computations.
- 9. I shall, on demand, provide the proof of cost and date of acquisition of the shares so declared.UAE Exchange shall have the right to disallow selling of shares for which I have not given complete declaration.
- 10. I understand and agree that UAE Exchange can outsource the tax calculations and other related activities to a third party who may have access to my account/transactions besides levy service charges for providing such services.
- 11. I undertake and agree that I shall be entirely liable for any tax liabilities that arise on account of the transactions executed through UAE Exchange and that I shall cooperate with UAE Exchange in this regard.
- 12. I undertake and agree to pay in full all the dues, losses, liabilities, charges, taxes, fees, interest, penalty, fine, etc. that may arise on account of my trading activities with UAE Exchange.
- 13. I undertake to abide by all the applicable rules, regulations, laws, notifications, circulars under FEMA, RBI, SEBI, Income Tax, government, ministries, etc.for NRO trading in the Stock Exchanges in India as an NRI, existing or as announced from time to time.
- 14. In the event of my committing a breach of any of the above described regulations, UAE Exchange shall beat liberty to deactivate my NRO trading account and I shall not raise any claim or dispute against UAE Exchange, for the said action.
- 15. I undertake and agree that in case I do not opt for receiving contract notes and other communications via email or in case where I have opted for receiving contract notes and other communication by email but UAE Exchange is unable to send the same by email (where the reason is beyond UAE Exchanges control) the additional charges applicable for sending contract notes/other communication in physical form, additional Demat AMC charges as well as any other related charges will be applied to my account.

Place	 	-	• •	• •	• •	• •	• •	• •	• •	• •	•	•	• •	•	 •	•••	•	•	
Date																			

(Full signature required)

(Name & Signature of the Client/ Authorised Signatory)

ger/																										
Mode of Acquisition (IPO,Bonus/Split / Amalgamation/De merger/ Secondary Market)																										
Total Cost																										
Acquisition Price																										ure required)
Face Value																										Signature:
No of shares																										signature: 🦼
Date of acquisition																										S
ISIN																										
Name of Co																										
Sr. No.	-	2	ო	4	ß	9	7	∞	6	10	7	12	13	14	15	16	17	18	19	20	21	22	23	24	25	Name:

DECLARATION NON -REPATRIATION BASIS NRO SHARES

DECLARATION NON -REPATRIATION BASIS NRO SHARES	Co ISIN Date of acquisition No of Face Value Acquisition Total Cost Amalgamation/De merger/ Price Secondary Market)																									
DECLA	Sr. Name of Co ISIN No.	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50

Signature: A (Full signature required)

Name: Date:

TRADING - CLIENT AUTHORIZATION TO THIRD PARTY

(Minor cannot be appointed)

Non-mandatory

To,	
UAE Exchange & Finance L	.td.

Administrative Office: Second Floor, Habeeb Tower, M G Road, Kochi - 682 011

I/We	Indian R	Resident/NRI,aged	
Years, S/o/D/o	residing at		
being a client of UAE Exchange & Finan	ce Ltd. with Trade Code	do hereby nominate, appoint and	
authorize Mr./Mrs./Ms.	agedyears S	:/o / d/o	
residing at			

_____hereinafter referred to as "Authorised Person" whose signature is appended below, to act for me, as my attorney, in my name and on my behalf to do, execute and perform or caused to be done all or any of the acts or things as envisaged in the Agreements executed by me with UAE Exchange & Finance Ltd. and such things, hereinafter specifically mentioned.

- 1. To do transactions on my behalf in shares, securities, derivative contract and all other Products and/or services offered by UAE Exchange.
- 2. To present cheques to meet the payment obligations arising out of the transactions done on my behalf and in my account.
- 3. To receive cheques on my behalf with regard to this.
- 4. To subscribe / unsubscribe to the Products and/or services introduced or offered by UAE Exchange from time to time.

I request UAE Exchange to act on the instructions of the Authorised Person. I agree, and undertake that UAE Exchange shall not be held responsible / liable for actions / inactions arising out of the said instructions.

I shall indemnify UAE Exchange for any costs, losses, expenses, penalties and outgoings including legal fees and expenses incurred or suffered by UAE Exchange due to such authorization.

I agree and understand that UAE Exchange does not have any means such as biometric passwords, etc. to confirm / authenticate the authorized person acting under this Authorization.

I agree and confirm that the said authorization shall be cancelled or revoked only upon furnishing an advance written notice of 30 (thirty) days to UAE Exchange which notice shall bear an acknowledgement of receipt by UAE Exchange in writing specifically addressed to me.

I hereby ratify and confirm and agree to ratify and confirm all acts, deeds or the trades done or cause to be done by the Authorised Person under this authority and shall be construed as acts, deeds or trades done by me. Name of the Authorized Person (Self Certified Proof of Identity of the Authorized person to be submitted alongwith the said Authorization)

(Signature of authorised person) (Full signature required)

(i un signature required)

Address of the authorised person

Landline number of authorised person :

Mobile number of authorised person

Email ID of authorised person

PAN of the authorised person

Aadhar number of authorised person

Date of birth of the authorised person : DD MM YYYY

Photo of the Authorized person

Signature of the Authorized person across the photo

Any one of the following documents may be submitted as Proof of Identity: Passport Copy Driving License Pan Copy

1

Place:

Name:



Date:

UNDERTAKING FROM CLIENTS ON THE F &O SEGMENT FOR AVAILING EXPOSURE AGAINST HOLDINGS

I/ Mr./Ms
aged,residing
athereby undertakes as follows:
1. Whereas I have registered with UAE Exchange & Finance Ltd. (UAE Exchange), as a client
with client code:
2. Whereas I have opted to avail exposure against holdings (of approved scrips as per UAE Exchange policy) in the F&O segment. I am aware and agree that trading in F&O involves daily settlement of MTM losses and a failure on my part to remit the same may result in the sale of the holdings by UAE Exchange.
3. I am also aware that the markets can be volatile as a result of which I may be called upon to pay additional margins by UAE Exchange. I understand and affirm that in the event of my failure to meet such enhanced margin requirements, within the time frame stipulated by UAE Exchange, it (UAE Exchange) can close out my positions and still if any outstanding amount are found payable to UAE Exchange the same shall be recovered by selling the said holdings from my DP Account. The timing and choice of shares and its price shall be at the discretion of UAE Exchange.
 That in the event of the happening of the above, I shall not raise any claim or dispute against UAE Exchange.
Place
Date
Name and Signature of Client

DECLARATION OF TYPES OF DEPOSITORY SERVICES

We, at UAE Exchange & Finance Ltd., offer Regular Services Demat Accounts (RSDA) with normal depository services and Basic Services Demat Account (BSDA)* with limited Depository Services.

Basic Services Demat Account (BSDA)
Higher Transaction Charges. (See theattached for Charges)
Only two Statements are free of cost. Rs25/- per additional physical Statement request
Not eligible for Customer Care support
No email alerts on transactions.
Free Quarterly Transaction Statements.
Only one account across all DPs and Depositories is permitted
No Call Centre Support
-

Both the services have different features as detailed below:

*BSDA eligibility: Only accounts with a holding value that is less than Rs 2,00,000 are eligible for BSDA and the investor should have only one DP Account across the depositories.

You may opt for our Regular Services Demat Account (RSDA) with the features listed above even if your account is eligible for BSDA account status.

After reading the above, I/we hereby affirm that my/our account be classified as RSDA.

Signature(s):



Sole/Fist Holder



Joint Holder-1



Joint Holder-2

Date : Place :

ADDENDUM FOR OPENING E-INSURANCE ACCOUNT

UAE Exchange & Finance Ltd. Approved Person Reg. No : IRD/ Second Floor, Habeeb Tower, M	A/IR2/2013/006 Booklet No.	
Tel : 0484 - 2370496, 2370497	Account Opening (Scan Based) Serial No.	
I wish to apply for an e-Ins	urance Account (eIA) Type of account Resident NRI	
First Name:		
Middle Name:		
Last Name:		
Father's/Spouse Name:		
Gender	Male Female Others Date of Birth D D M M Y Y Y	Y
PAN	& / or UID	
ID Proof Submitted		
DOB Document Submitted		
Proof of Address		
		_
_	AUTHORISED REPRESENTATIVE DETAILS	
First Name:		
Middle Name:		
Last Name:		
Gender	Male Female Others Date of Birth D D M M Y Y Y	Y
PAN	& / or UID	
Relationship with eIA Applicant		
Address	Same as elA Applicant Permanent Correspondance Others	
-		
Telephone		<u> </u>
Email ID		

Do you want to notify Authorised Representative about his / her appointment?

(An Authorised Representative is a person appointed by e-Insurance Account holder who can access e-Insurance Account in the event of the holder's demise or in his incapacity to access the e-Insurance Account) PTO

DECLARATION

The rules and regulations of Insurance Regulatory and Development Authority of India & Insurance Repository pertaining to an e-Insurance Account which are in force now have been read by me and I have understood the same and I agree to abide by and to be bound by the rules as are in force from time to time for such e-Insurance Account (eIA). I hereby declare that the particulars given herein are true, correct and complete to the best of my knowledge and belief, the documents submitted along with this application are genuine and I am not making this application for the purpose of contravention of any Act, Rules, Regulations or any statute or legislation or any Notifications, Directions issued by any governmental or statutory authority from time to time. I authorise the Insurance Repository to send any policy and account related information through email and SMS on the contact details given by me. In case of any physical policies being issued by the Insurance Company from whom I obtain an e-policy, the address in the e-Insurance Account shall override the address provided for the physical policies. I understand that all the communication relating to any physical/ e-policy will be sent to the address registered with the Insurance Repository. I agree to inform the Repository of any changes in the details mentioned in this form and in case of delay the said repository shall not be liable incase it acts on the said information which has not been updated. Further, in case I update the details with the Insurance Company, I authorise them to submit the same to you for update in the e-Insurance Account and the said update will be applicable to all policies of any insurer that I hold/ will hold in the said account. I authorise the Repository to pass on the information to any Insurance Company that I have approached for availing of insurance cover.

I further agree that any false /misleading information given by me or suppression of any material fact will render my e-Insurance Account liable for termination and further action.

I hereby authorise the Insurance Repository / Insurance Company to disclose, share, remit in any form, mode or manner, all / any of the information provided by me to the respective Insurance Companies and / or to their authorised agents and representatives in which I may transact / have transacted including all changes, updates to such information as and when provided by me.

I hereby agree to provide any additional information / documentation that may be required by the Authorised Parties, in connection with this application. I hereby confirm that this is a unique e-Insurance Account opening application and I have not applied to the same Insurance Repository or any other Insurance Repository for an e-Insurance Account in the past.

I would like to receive my insurance policy and all the information related to the proposed insurance policy through Insurance Repository.

I am aware the details furnished by me, including KYC documents, for the KYC form and Account opening form will be used to open the eIA. I hereby give my consent for the same.

	Name of el	A Holder		Signature of eIA Holder
		R UAE EXCHANGE & F	INANCE LTD. OFF	
Staff Name	:		EIA. No.	:
Employee Cod	le :		Trade Cod	e:
Signature	:		Client ID	:
Branch Seal	:		Date	:

Important Points

- An individual can hold only a single elA
- This form is meant for an individual to open an e-Insurance Account (eIA)
- An elA enables an individual to hold the various types of insurance policies in electronic format in a single account
- This will eliminate the need of holding the insurance policies in physical form
- This account will also act as a single point of contact for the policy holders to update their demographic details with all the insurance companies from where the policies are acquired

Disclosures

- 1. In line with industry standards & practice and our business requirements, our employees are incentivized, financially or otherwise, for the business generated through various financial products & services offered. However, we do not have an incentive structure that encourages sale of products that are in conflict with your interests. Earnest efforts have been made to introduce the most comprehensive products & services, keeping our client's best interest in mind. This disclosure is being made voluntarily, towards our initiative to eliminate conflict of interest situations.
- 2. We do not offer any products with guaranteed returns.
- 3. UAE Exchange disclose herewith that it currently does not undertake proprietary trading.

FOR HO USE ONLY CLENT DUE DILIGENCE CHECKLIST

- 1. Confirmed that the Client has been verified against the SEBI debarred list.
- 2. Confirmed that the Client has been verified against the UN Sanctions list.
- 3. The identity of the client does not match with those in the SEBI debarred list or the UN Sanctions list. Does not Match Does Match (tick whichever is applicable)
- 4. Action taken if the name is found matching

Name of Verifying Employee	:	
Employee Code	:	
Date Verified	:	
Signature	:	

- Intentionally left blank -

NACH Important Instructions:

- 1. This mandate is an authorization to debit funds from your designated Bank account. Please ensure that it is signed by the respective account holder(s) of the Bank.
- 2. Signature (s) on the mandate should be as it appears in the Bank records of the Client(s). All holders as appearing in the Bank records would be required to sign the mandate.
- 3. Though it is signed, it's not necessary that mandate gets registered at Banks end as it all depends on the respective Bank's inclusion in NACH list. Also the Bank may reject the mandate based on their validations.
- 4. This mandate can be linked only to the Bank account Registered in your Trading account with us.
- 5. This mandate can take a maximum time of 20 days to register at Bank's end, so any requirement of funds during this period should be taken care of.
- 6. At any time you have the option to cancel this mandate.
- 7. The amount mentioned here is the maximum limit UAE Exchange & Finance Ltd. can request to draw from your Bank account. Please ensure that the funds remain in the Bank account at the time of collection.
- 8. This is for the use of Equity and Mutual Fund SIP.
- 9. Write the maximum amount to be used for all your SIPs.

UAE CHANGE [®] UMRN	Date
Tick (✓) Sponsor Bank Code	Unity Code
CREATE I //We hereby authorize Uae Exchange & Finance Ltd	to debit (tick √) SB /CA /CC /SB NRE /SB NRO /Other
CANCEL Bank a/c number	
with Bank IFSC	or MICR
an amount of Rupees	₹
FREQUENCY IN Mthly IN Qtly IN H-Yrly IN Yrly IN As & when presented	DEBIT TYPE 🖾 Fixed Amount 🛛 🗹 Maximum Amount
Reference 1	Phone No.
Reference 2	Phone No.
PERIOD I agree for the debit of mandate prcessing charges by the bank whom i am authorizing t	to debit my account as per latest schedule of charges of the bank
From	
Or 🗆 Until Cancelled 1 2	2 3
. This is to confirm that the declaration has been carefully read, understood & made by me/ us, lam authorizing t	the user entity / corporate to debit my account.

Debit mandate from NACH / ECS / DIRECT DEBIT

In a law enderstood that I am authorized to cancel / amend this mandate by appropriately communicating the cancellation / amendment request to the User entity / corporate or the bank where I have authorized the debit

- Keep a regular check of your Trading and Depository account.
- Ensure that transactions in your account are carried out as per your instructions only.
- Settle the funds and securities obligations as per Stock Exchange Rules. Always transfer funds only from your own bank accounts. We do not accept funds other than from your registered Bank accounts with us.
- Maintain secrecy of your password in case of Internet Trading, since you are solely responsible for all transactions effected from its usage. The password should be distinct & periodically changed to ensure security.
- Provide accurate Email id, Client id, Depository ID, Mobile Number and Contact Details to ensure prompt receipt of correspondence such as contract notes, e-mails and other information.
- Monitor your transactions regularly and in case of any irregularities, kindly contact us through letters of e-mail us at: grievances@uaeexhange.co.in Administrative Office address UAE Exchange & Finance Ltd. Second Floor, Habeeb Tower, M G Road, Kochi - 682 011Tel : 0484 - 2370496, 2370497
- Familiarize yourself with the Risk Disclosure Document (RDD) before commencement of trade.
- Be vigilant in your transactions.
- Call on the land line numbers of your local branch and give clear and unambiguous instructions while placing orders over the phone. In case you visit the branch office, kindly give your orders in writing.
- Please bear in mind that while it is our endeavor to inform you in case of margin call, it is also your responsibility to maintain the required margins. UAE Exchange reserves the right to square off any outstanding positions in case of shortfall in margin and delay in payments.
- The correspondence address should always be updated.
 Do give instruction to suspend your depository and trading accounts temporarily if you do not want to do trades for any specified period due to not being in station or for any other reason. This will ensure clarity in dealings. Such information can be given by email/letter in the address given herein.

DON'Ts

- Do not reveal your personal details to anyone, especially your Trading password.
- If you are not familiar with computers and e-mails, please do not opt for Digital Contract Notes (DCN) rather opt for physical contract notes.
- Do not believe in baseless and false assurances of guaranteed returns. There is no assurance of guaranteed or fixed periodic returns from Capital Market.
- Do not believe in any kind of promises made about assured returns by our employees or Sub brokers or Authorized Persons or Marketing Associates. They are not authorized or qualified to give such assurances or promises.
- Do not sign blank Delivery Instruction Slips (DIS) issued for Depository transactions and hand over the same to any Depository Participant or broker.
- Do not get misled by guarantees of repayment on your investments through post dated cheques.

UAE Exchange & Finance Ltd.

Administrative office address:

Second Floor, Habeeb Tower, M G Road, Kochi - 682 011, Tel : 0484 - 2370496, 2370497 Email : client.reg@uaeexchange.co.in, Web : www.uaeexchange-etrade.com Please feel free to call us at : 1800 3000 9565 I 1800 3000 1555 (Toll Free)

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