

...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



**1171**


Client Code									<input checked="" type="checkbox"/> Terminal <input type="checkbox"/> Internet					
Beneficiary ID	1	2	0	5	1	8	0	0						
Client Name	SUNIL KUMAR HEGDE													
Branch	COCHIN								Date:					
Employee Name	SHERLY A.B								Employee Code			06		

### CHECKLIST FOR DOCUMENTS

	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			

### CHECKLIST FOR SIGNATURES

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	✓	✓	x	✓	✓
Signature in KYC Application form - 3rd Holder	11-12	✓	✓	x	✓	✓
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	✓	✓	✓	x	x
Schedule of Charges for Depository Services	26	✓	✓	x	✓	✓
Power of Attorney for Broking and other products and services-If opted	27-29	✓	✓	x	x	x
Running Account-If opted / NRI Undertaking for NRE PIS Account	30	✓	✓	✓	x	x
Undertaking for NRO NON-PIS Account	31	✓	✓	✓	x	x
Declaration NON-Repatriation Basis of NRO Shares	32-33	✓	✓	✓	x	x
Client Authorization to third party - If opted	34	✓	✓	✓	x	x
Undertaking from clients on the F&O Segment-If opted	35	✓	✓	x	x	x
Regular Service Demat Account-Undertaking-If opted	36	✓	✓	x	✓	✓
Addendum for opening e-Insurance Account-If opted	37-38	✓	✓	x	✓	✓

Please affix full Signature wherever  mark is found and is indicated "Full Signature required"

# Annexure - 1

## ACCOUNT OPENING KIT

### INDEX

S.No.	Name of the Document	Brief Significance of the Document	Page No
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		(d) CKYC form- Document captures the basic information about the constituent - Third Holder	11-12
		(e) KRA KYC form- Document captures the basic information about the constituent -Non Individual	13
		(f) KRA KYC form Instruction and Check list for Non Individual	14
		(g) Details of Promoters/Partners/Karta/Trustees and Whole time directors and Ultimate Beneficial Owner (natural person) Forming A part of KYC for Non Individual	15-16
		B. (a) Additional information about the constituent relevant to trading & Demat Account	17-23
		(b) Instruction and Check list	24
2	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	25
3	Rights and Obligations of Stock Brokers, Sub-brokers and DP and Trading Clients	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/ wireless technology based trading).	42-49
4	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	50-53
5	Guidance Note of the investors.	Document detailing do's and don'ts for trading on exchange, for the education	54-55
6	Policies and Procedures	Document describing significant policies and procedures of the stock broker	57-61
<b>VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER</b>			
7	Schedule of charges for Depository Services	Charges for availing Depository Services	26
8	Power of Attorney for Broking and Other Products & Services Stamp Rs.100/-)	Power of Attorney in favour of UAE Exchange to operate client's demat account/mutual fund/I PO	27-29
9	Running Account	Authorization by client to retain funds/securities in trading account to meet settlement obligations	30
10	NRI Undertaking for NRE PIS Account	To create awareness about RBI rules and regulations	30
11	Undertaking for NRO Non-PIS Account	Investing under Non-Repatriation Basis	31
12	Declaration of Non -repatriation Basis NRO Shares	Declaration of shares under Non-Repatriation Basis	32-33
13	Client Authorisation to Third Party	Client authorisation to a third party to operate trading account	34
14	Undertaking from clients on the F&O segment	For availing exposure against demat holdings on the F&O segment	35
15	Regular Service Demat Account-Undertaking	Undertaking for availing Regular Service Demat Account	36
16	Addendum for opening e-Insurance Account	Addendum for opening e-Insurance Account	37-38
17	Disclosure	Disclosure by UAE Exchange	39
18	NACH	Authorization to debit funds from client designated bank A/C to meeting funds for systematic SIPs	41
19	Do's and Don'ts - CDSL	Do's and Don'ts for managing your Demat account	56
20	Additional rights and obligations for broking and other products and services	To avail value added products and services from UAE Exchange (including NACH/ECS agreement)	62-81

UAE Exchange & Finance Ltd.		Corporate Identity Number: U85110KA1993PLC013994		GST Number: 32AAACU2462R122	
Registration No. & Date				Compliance Officer Name/phone/e-mail id	
Stock Broker SEBI Reg. No. : NSE - INB230655838/INE230655838 MSEI- INE260655838 Date: 1-11-1994, 18-09-2008				Mr. SREENISH T S, Tel No. 0484 237 0496/97 compliance@uaeexchange.co.in	
NSE Member Code: 06558		BSE Member Code: 6674		MSEI Member Code: 64900	
Depository		CDSL-IN-DP-CDSL- 416-200712051800			Mr. SAJEESH XAVIER, Tel No. 0484 237 0496/97 compliance@uaeexchange.co.in
AMFI reg. no.		ARN 33964, Date: 19-12-2005			
Port Folio Manager: Reg.No:					
Reg. Office: 63, Artillery Road, Ulsoor, Bangalore – 560 008					
Administrative/ Correspondence Office Address : Second Floor, Habeeb Tower, M G Road, Cochin – 682 011 ,Tel : 0484 2370496/97, Fax : 0484 – 2364262 Website : www.uaeexchange-etrade.com					
CEO name, phone no & email id:		Dr. B R Shetty. Tel : 0484 2370496/97, Email Id : hq.nse@uaeexchange.co.in			
For any grievance/dispute please contact UAE Exchange and Finance Limited at the above address or Email Id : grievances@uaeexchange.co.in 0484 2370496/97. In case not satisfied with the response, please contact the concerned exchange(s) at the contact details given below:					
Exchange	Department		Email ID		Phone No.
National Stock Exchange of India Ltd	Investor Grievance Cell		ignse@nse.co.in		022-26598190
Bombay Stock Exchange Ltd	Investor Services		is@bseindia.com		022-22728138
Metropolitan Stock Exchange of India Ltd	Investor Complaints		investorcomplaints@msei.com		022 61 129000 Ext. 9028

# ACCOUNT OPENING KYC

## INDEX

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18	18	18. Declaration	18
19	19	19. Signature	19
20	20	20. Stamp	20
21	21	21. Date	21
22	22	22. Place	22
23	23	23. Witness	23
24	24	24. Notary	24
25	25	25. Other	25

**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 (✓) 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 (✓) 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 mention 91-9999999999).
- 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	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

## List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Åland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
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	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BQ	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	IO	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	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
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	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	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	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Côte d'Ivoire / Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion / Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
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	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		

**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

Account Type\*

☒ Normal

(Mandatory for KYC update request)

Please read the Instructions before filling the form.

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

☒ Name\* (Same as ID proof)

Prefix (Mr./Mrs./Ms)

First Name

Middle Name

Last Name

MR SUNIL KUMAR HEGDE

Prefix (Mr./Mrs./Ms)

Maiden Name (If any\*)

Prefix (Mr./Mrs./Ms)

Father / Spouse Name\*

MR SUNDAR HEGDE

Prefix (Mr./Mrs./Ms)

Mother Name\*

MRS SANJEEVI

Date of Birth\*

07-08-1974

Gender\*

☒ Male

☐ F- Female

☐ T-Transgender

Marital Status\*

☒ Married

☐ Unmarried

☐ Others

Citizenship\*

☒ IN- Indian

☐ Others (ISO 3166 Country Code )

Residential Status\*

☒ Resident Individual

☐ Non Resident Indian

☐ Foreign National

☐ Person of Indian Origin

Occupation Type\*

☒ S-Service ( ☒ Private Sector

☐ Public Sector

☐ Government Sector )

☐ O- Others ( ☐ Professional

☐ Self Employed

☐ Retired ☐ Housewife ☐ Student )

☐ B-Business

☐ X- Not Categorised

PAN Card

ABSPH8146D



**2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place/City of Birth\*

ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

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

☐ A- Passport Number

Passport Expiry Date

DD-MM-YYYY

☐ B- Voter ID Card


☒ C- PAN Card

ABSPH8146D

☐ D- Driving Licence

Driving Licence Expiry Date

DD-MM-YYYY

☐ E- UID (Aadhaar)


☐ F- NREGA Job Card


☐ Z- Others (any document notified by the central government)

Identification Number

☐ S- Simplified Measures Account - Document Type code

Identification Number

**4. PROOF OF ADDRESS (PoA)\***
☒ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type\*

☐ Residential / Business

☒ Residential

☐ Business

☐ Registered Office

☐ Unspecified

Proof of Address\*

☒ Passport

☐ Driving Licence

☐ UID (Aadhaar)

☐ Voter Identity Card

☐ NREGA Job Card

☐ Others

please specify

☐ Simplified Measures Account - Document Type code

Address

Line 1\* HOUSE NO 28/2543-B

Line 2 GATE NO 22 CHINAR HOUSE

Line 3 ALUNKAL ROAD

District\* ERNAKULAM Pin/Post Code\* 682020 City/ Town/ Village\*

State/U.T Code\* KL ISO 3166 Country Code\* IN

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

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Correspondence / Local Address details

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

☐ **6. DETAILS OF RELATED PERSON** (In case of additional related persons, please fill 'Annexure B1' ) (please refer instruction G at the end)

KYC Number of Related Person (if available\*)

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [PoI] OF RELATED PERSON\* (Please see instruction (H) at the end)

Passport Expiry Date

Driving Licence Expiry Date   -   -

[illegible]☐ 7. REMARKS (If any)[illegible]

## 8. APPLICANT DECLARATION

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

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

Date : 16/11/2017 Place : ERNAKULAM

Signature / Thumb Impression of Applicant

## 9. ATTESTATION / FOR OFFICE USE ONLY

**Documents Received**    ☒ **Certified Copies**    ☒ **Original Verified and Self-Attested Document Copies Received**

IPV AND KYC VERIFICATION CARRIED OUT BY

### INSTITUTION DETAILS

Name UAE EXCHANGE AND FINANCE LTD  
Code IN0570

Institution Stamp:

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

**For office use only**

☐ New ☐ Update

																					(Mandatory for KYC update request)
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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

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

(Mandatory for KYC update request)

**Annexure B1****Related Person**

Please read the Instructions before filling the form.

**1. DETAILS OF RELATED PERSON** (Please refer instruction G at the end)☐ Addition of Related Person ☐ Deletion of Related Person

KYC Number of Related Person (if available\*)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Related Person Type\*

☐ Guardian of Minor☐ Assignee☐ Authorized Representative

Name\*

Prefix (Mr./Mrs./Ms.)

First Name

Middle Name

Last Name

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(If KYC number and name are provided, below details of section 1 are optional)

PROOF OF IDENTITY (PoI) OF RELATED PERSON\* (Please see instruction (H) at the end)

☐ A- Passport Number

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Passport Expiry Date

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

☐ B- Voter ID Card

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

☐ C- PAN Card

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

☐ D- Driving Licence

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Driving Licence Expiry Date

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

☐ E- UID (Aadhaar)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

☐ F- NREGA Job Card

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

☐ Z- Others (any document notified by the central government)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Identification Number

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

☐ S- Simplified Measures Account - Document Type code

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Identification Number

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

**2. APPLICANT DECLARATION**

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

Date :

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Place :

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Signature / Thumb Impression of Applicant

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

Documents Received

☐ Certified Copies☐ Original Verified and Self-Attested Document Copies Received**IPV AND KYC VERIFICATION CARRIED OUT BY**

Date

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Emp. Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Emp. Code

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Emp. Designation

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Emp. Branch

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

[Employee Signature]

**INSTITUTION DETAILS**

Name

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Code

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

[Institution Stamp]

**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

(Mandatory for KYC update request)

Account Type\*

☐ Normal

Please read the instructions before filling the form.

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

☐ Name\* (Same as ID proof)

Prefix (Mr./Mrs./Ms)

First Name

Middle Name

Last Name

Prefix (Mr./Mrs./Ms)

Maiden Name (If any\*)

Prefix (Mr./Mrs./Ms)

Father / Spouse Name\*

Prefix (Mr./Mrs./Ms)

Mother Name\*

Date of Birth\*

Gender\*

☐ M- Male

☐ F- Female

☐ T-Transgender

Marital Status\*

☐ Married

☐ Unmarried

☐ Others

Citizenship\*

☐ IN- Indian

☐ Others (ISO 3166 Country Code )

Residential Status\*

☐ Resident Individual

☐ Non Resident Indian

☐ Foreign National

☐ Person of Indian Origin

Occupation Type\*

☐ S-Service ( ☐ Private Sector

☐ Public Sector

☐ Government Sector )

☐ O- Others ( ☐ Professional

☐ Self Employed

☐ Retired

☐ Housewife

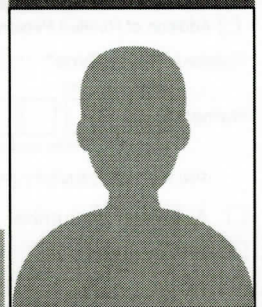
☐ Student)

☐ B-Business

☐ X- Not Categorised

PAN Card

**PHOTO**



**2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place/City of Birth\*

ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

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

☐ A- Passport Number

Passport Expiry Date

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence

Driving Licence Expiry Date

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government)

Identification Number

☐ S- Simplified Measures Account - Document Type code

Identification Number

**4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS** (Please see instruction D at the end)

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

Address Type\*

☐ Residential / Business

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

Proof of Address\*

☐ Passport

☐ Driving Licence

☐ UID (Aadhaar)

☐ Voter Identity Card

☐ NREGA Job Card

☐ Others

please specify

☐ Simplified Measures Account - Document Type code

**Address**

Line 1\*

Line 2

Line 3

City/ Town/ Village\*

District\*

Pin/Post Code\*

State/U.T Code\*

ISO 3166 Country Code\*

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

☐ 4.3 ADDRESS IN THE JURISDICTION DETAILS WHERE APPLICANT IS RESIDENT OUTSIDE INDIA FOR TAX PURPOSES\* (Applicable if section 2 is ticked)

☐ Same as Current / Permanent / Overseas Address details☐ Same as Correspondence / Local Address details

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

☐ 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\*)

(If KYC number and name are provided, below details of section 6 are optional)

PROOF OF IDENTITY [Pol] OF RELATED PERSON\* (Please see instruction (H) at the end)

☐ 7. REMARKS (If any)

## 8. APPLICANT DECLARATION

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

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

Signature / Thumb Impression of Applicant

## 9. ATTESTATION / FOR OFFICE USE ONLY

**Documents Received**    ☐ Certified Copies    ☐ Original Verified and Self-Attested Document Copies Received

IPV AND KYC VERIFICATION CARRIED OUT BY

\_\_\_\_\_  
(Employee Signature)

### INSTITUTION DETAILS

Institution Stamp:

**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

(Mandatory for KYC update request)

Account Type\*

☐ Normal

Please read the Instructions before filling the form.

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

☐ Name\* (Same as ID proof)

Prefix (Mr./Mrs./Ms)

First Name

Middle Name

Last Name

Prefix (Mr./Mrs./Ms)

Maiden Name (If any\*)

Prefix (Mr./Mrs./Ms)

Father / Spouse Name\*

Prefix (Mr./Mrs./Ms)

Mother Name\*

Date of Birth\*

-   -

Gender\*

☐ M- Male

☐ F- Female

☐ T-Transgender

Marital Status\*

☐ Married

☐ Unmarried

☐ Others

Citizenship\*

☐ IN- Indian

☐ Others (ISO 3166 Country Code  )

Residential Status\*

☐ Resident Individual

☐ Non Resident Indian

☐ Foreign National

☐ Person of Indian Origin

Occupation Type\*

☐ S-Service ( ☐ Private Sector

☐ Public Sector

☐ Government Sector )

☐ O-Others ( ☐ Professional

☐ Self Employed

☐ Retired

☐ Housewife

☐ Student)

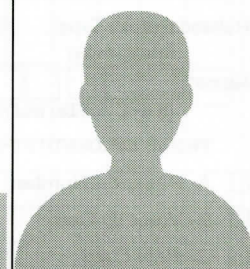
☐ B-Business

☐ X- Not Categorised

PAN Card



**PHOTO**



**2. TICK IF APPLICABLE** ☐ RESIDENCE FOR TAX PURPOSES IN JURISDICTION(S) OUTSIDE INDIA (Please refer instruction B at the end)

ADDITIONAL DETAILS REQUIRED\* (Mandatory only if section 2 is ticked)

ISO 3166 Country Code of Jurisdiction of Residence\*

Tax Identification Number or equivalent (If issued by jurisdiction)\*

Place/City of Birth\*

ISO 3166 Country Code of Birth\*

**3. PROOF OF IDENTITY (PoI)\*** (Please refer instruction C at the end)

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

☐ A- Passport Number

Passport Expiry Date

-   -

☐ B- Voter ID Card

☐ C- PAN Card

☐ D- Driving Licence

Driving Licence Expiry Date

-   -

☐ E- UID (Aadhaar)

☐ F- NREGA Job Card

☐ Z- Others (any document notified by the central government)

Identification Number

☐ S- Simplified Measures Account - Document Type code

Identification Number

**4. PROOF OF ADDRESS (PoA)\***

☐ 4.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS (Please see instruction D at the end)

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

Address Type\*

☐ Residential / Business

☐ Residential

☐ Business

☐ Registered Office

☐ Unspecified

Proof of Address\*

☐ Passport

☐ Driving Licence

☐ UID (Aadhaar)

☐ Voter Identity Card

☐ NREGA Job Card

☐ Others

please specify

☐ Simplified Measures Account - Document Type code

Address

Line 1\*

Line 2

Line 3

City/ Town/ Village\*

District\*

Pin/Post Code\*

State/U.T Code\*

ISO 3166 Country Code\*

- 12 -

Not applicable in case your KYC is under Registered Status with KRA

Please affix the recent  
passport size  
photograph of  
Authorised Signatory  
and sign across it

- 13 -

## INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

### A. IMPORTANT POINTS:

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should 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.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, [allowed to trade subject to RBI and FEMA guidelines], copy of passport/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.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC [Continuous Discharge Certificate] is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School leaving Certificate/ Mark sheet issued by Higher Secondary Board/Passport of Minor/ Birth Certificate must be provided.
11. Politically Exposed Persons [PEP] are defined as individuals who are or have been entrusted with prominent public functions, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/military officers, senior executives of state owned corporations, important political party officials, etc.

### B. Proof of Identity [POI]: List of documents admissible as Proof of Identity:

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

### C. Proof of Address [POA]: List of documents admissible as proof of Address: [\* Documents having an expiry date should be valid on the date of submission.]

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

- Flat Maintenance bill/Insurance Copy.
2. Utility bills like Telephone Bill [only land line]. Electricity bill or Gas bill Not more than 3 months old.
3. Bank Account Statement/Passbook-Not more than 3 months old.
4. Self-declaration by High Court Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-operative Bank/ Multinational Foreign 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.
7. For FI/sub account, Power of Attorney given by FI/sub-account to the Custodians [which are duly notarized and/or apostilled or consularised] that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

### D. Exemptions clarifications to PAN [\*Sufficient documentary evidence in support of such claims to be collected.]

1. In case of transactions undertaken on behalf of Central Government and /or State Government and by officials appointed by Courts e.g. Officials liquidator, Court receive etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds up to Rs. 50000/- p.a.
5. In case of Institutional clients, names, FIs, Mfs, VCFs, FVCIs, 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.

### E. 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]
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy/Consulate General in the country where the client resides are permitted to attest the documents.

### F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below:

Types of entity	Documentary requirements
Corporate	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• 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).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control – either directly or indirectly.</li> <li>• Copies of the memorandum and Articles and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Partnership firm	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorized signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
Trust	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only). Copy of Trust deed.</li> <li>• List of trustees certified by managing trustee/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
HUF	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/List of coparceners.</li> <li>• Bank passbook/Bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
Unincorporated Association or a body of Individuals	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Banks/Institutional Investors	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Foreign Institutional Investors (FII)	<ul style="list-style-type: none"> <li>• Copy of SEBI Registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Army/Government Bodies	<ul style="list-style-type: none"> <li>• Self-certification on letter head.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
Registered Society	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorized to act as authorized signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>



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

**Client Type: Company / Partnership / Unincorporated Associations / Body of Individuals / Trust**

Sl. No.	Name	PAN	Related Entity	Relationship with the entity	Address of beneficial owner	Email Address	Contact Nos.

Branch Seal

Employee Code:

Employee Name:

Date:

Place

Signature

Please use additional copies of this form if required.

## Annexure - 3

For Individuals/Sole Proprietorship/Partnership/HUF

**TRADING AND DEMAT ACCOUNT RELATED DETAILS**

I/We request you to open the following account(s) in my/our name as per the following details.

(Please tick only one of the following options)

☒ Trading Account and CDSL Demat Account
 ☐ Trading Account only
 ☐ CDSL Demat Account only
DP ID: CDSL : ☒ 12051800

Client ID (To be filled by Participant)									
Type of Demat Account	<input checked="" type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI - Repatriable	<input type="checkbox"/> NRI - Non-Repatriable	<input type="checkbox"/> Margin	<input type="checkbox"/> Promoter	<input type="checkbox"/> HUF	<input type="checkbox"/> Others (please specify) .....		
Type of Trading Account	<input checked="" type="checkbox"/> Ordinary Resident	<input type="checkbox"/> NRI - Repatriable	<input type="checkbox"/> NRI - Non-Repatriable	<input type="checkbox"/> Sole Proprietor	<input type="checkbox"/> Partnership	<input type="checkbox"/> HUF	<input type="checkbox"/> Others (please specify) .....		

**A. NAME OF THE APPLICANT**

Trading Account Holder Name	SUNIL KUMAR HEGDE		
DP Holder Name	Sole/First Holder Details	Sole/Second Holder Details	Sole/Third Holder Details
	SUNIL KUMAR HEGDE		

**B. OTHER DETAILS**

SMS Facility	(This facility is made mandatory to register Power of Attorney in demat account. Ensure that the mobile number is provided in the KYC Application Form.)					
	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Gross Annual Income Details (please specify) Income Range per annum	<input type="checkbox"/> Below 1 Lac <input checked="" type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore	<input type="checkbox"/> Below 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25-50 Lac <input type="checkbox"/> 50 Lacs to 1 Crore <input type="checkbox"/> 1-5 Crore <input type="checkbox"/> 5-10 Crore <input type="checkbox"/> > 10 Crore
OR						
Net-worth as on (date)						
If Mobile #/Email id used belongs to a different person, specify the dependent relationship & PAN (Mark "SELF" in case of own Mobile #/Email id) (TICK correct one)	<b>Mobile</b> Self <input checked="" type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/>	Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/>	Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/>	Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/>	Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/>	Self <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Child <input type="checkbox"/> Dependent Parent <input type="checkbox"/>
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)
Name of Employer/ Establishment with full address	UAE EXCHANGE AND FINANCE LTD					
Designation	MANAGER					
Goods & Service Tax No.						
I declare that I don't have (In the case of trading account holder)	<input type="checkbox"/> Mobile <input type="checkbox"/> Email					

**C. GUARDIAN DETAILS (In case the Sole Holder is a minor - Applicable for Demat Account only)**

Name		PAN							
Relationship (if any)		Date of Birth* (of Minor)							
Address (Submit valid Proof of Address)									

**D. STANDING INSTRUCTIONS**



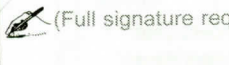
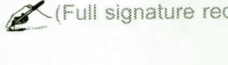
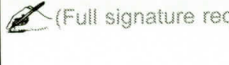


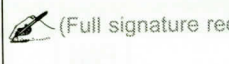
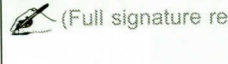
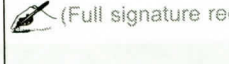
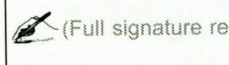
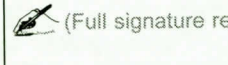

I/We authorise you to receive credits automatically into my/our account	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA) (If yes, ensure SMS alert facility is opted.)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Download of Email ID to Issuer/R&T Agent	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
I/We authorise you to send all communications/statements through the e-mail only*	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No
Address for communication / Corporate Benefits (Default option is Local Address)	<input checked="" type="checkbox"/> Local/Permanent Address <input type="checkbox"/> Correspondence Address/Foreign Address	

\*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 if different from above	00201050045397	(In case of NRIs NRE/NRO SB A/C No)	00201050045397
Bank Sub-type	<input checked="" type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others .....			<input checked="" type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> NRE <input type="checkbox"/> NRO	
Bank Name (Full name)	HDFC BANK LTD		HDFC BANK LTD		
Bank Branch Address (Write as per the manner discribed)	Building/Tower/Appartment/Palace/Chamber/Mansion		Building/Tower/Appartment/Palace/Chamber/Mansion		
	ELMAR SQUARE		ELMAR SQUARE		
	Street/Road/Marg/Lane/Avenue/Rasta		MGI ROAD		
	Area/Zone		RAVIPURAM		
	City/Town		ERNAKULAM		
	PIN CODE	682016	PIN CODE	682016	
MICR Number	682240002	682240002			
IFSC Number	HDFC0000020	HDFC0000020			
In case of NRIs, RBI Reference No.*					
RBI Approval Date					

## F. TRADING PREFERENCES

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

Exchanges	Segments			
NSE	Cash	 (Full signature required)	Currency Derivative	 (Full signature required)
	F&O	 (Full signature required)	Debt Market	 (Full signature required)
	Mutual Fund (MFSS)	 (Full signature required)		
BSE	Cash	 (Full signature required)	Currency Derivative	 (Full signature required)
	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 EVIDENCE OF FINANCIAL DETAILS FOR DERIVATIVE CLIENTS** (For Derivatives Trading)

<input type="checkbox"/> Copy of Tax Return	<input type="checkbox"/> Salary Certificate	<input type="checkbox"/> Net Worth Certificate	<input checked="" type="checkbox"/> Bank Statement for the last 6 months	Others, Please Specify .....
---------------------------------------------	---------------------------------------------	------------------------------------------------	--------------------------------------------------------------------------	------------------------------

**H. DEPOSITORY ACCOUNT DETAILS** (In case of other DP Account Holder, Demat 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**

Details of any action/proceedings initiated/pending/ taken by SEBI/ Stock exchange/any other authority and conviction by any court in India or abroad against the applicant/constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years

**J. DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS**

If client is dealing through the sub-broker, provide the following	Sub-broker's Name:			
	NSE SEBI Registration number			
	BSE SEBI Registration number			
	Registered office address			
	Phone		Fax	
Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers,	Name of stock broker		Name of Sub-Broker, if any	
	Client Code		Exchange	
	Details of disputes/dues pending from/to such stock broker/sub-broker			

**K. ADDITIONAL DETAILS**

Whether you wish to receive Electronic Contract Note or Physical Contract Note (ECN) please specify	<input checked="" type="checkbox"/> Electronic Contract Note	<input type="checkbox"/> Physical Contract Note
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> 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 exchanges. (Please tick whichever is applicable. If not ticked, assumed 'Not Required')	<input checked="" type="checkbox"/> SMS	<input checked="" type="checkbox"/> Email <input type="checkbox"/> Not Required
Any other information		

**L. INTRODUCER DETAILS (optional)**

Name of the Introducer	(Surname)	(Name)	(Middle Name)
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remiser <input type="checkbox"/> Authorized Person		
	<input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify		
Address 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?	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, please indicate your relationship with the employee	<input type="checkbox"/> Parent <input type="checkbox"/> Parent-in-law <input type="checkbox"/> Sibling <input type="checkbox"/> Spouse <input type="checkbox"/> Child
Employee code :	
Employee name :	

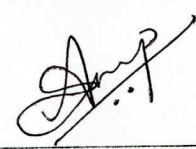

**N. OTHER DETAILS - NON-INDIVIDUALS**

Is the entity involved/ providing any of the following services	For Foreign Exchange / Money Changer Services	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Gaming / Gambling / Lottery Services (eg. Casinos, betting syndicates)	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Money Lending / Pawning	<input type="checkbox"/> Yes <input type="checkbox"/> No

**O. NOMINATION DETAILS FOR TRADING ACCOUNT HOLDER (for individuals only)**

<input checked="" type="checkbox"/> I/We wish to nominate		<input type="checkbox"/> I/We do not wish to nominate	
Name of the Nominee	INDIRA S. HEGDE	Relationship with the Applicant	SPOUSE
PAN of Nominee		Date of Birth of Nominee	
Address and phone no. of the Nominee:	HOUSE NO. 28/2543-B GATE NO. 22 CHINAR HOUSE ALUNKAL ROAD ERNAKULAM - 682020		
If Nominee is a minor, details of guardian:			
Name of guardian			
Address and phone no. of Guardian:		Signature of Guardian	

**WITNESSES (Only applicable in case the account holder has made nomination)**

Name	Address	Signature
ANOO P	GRACE VILLA, ERNAKULAM	
LAKSHMI	PUTHENVEEDU, KOLOOR, ERM	

**P. NOMINATION DETAILS FOR DEMAT ACCOUNT HOLDER** (Please read the instruction given below before filling)

(FROM 10)

(To be filled in by individual applying singly or jointly)

Date 

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

 DP ID 

I	N								
---	---	--	--	--	--	--	--	--	--

 Client ID 

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

- ☒ I/We wish to make a nomination. [As per details given below]
- ☐ I/We do not wish to make a nomination [strike off the nomination details below]


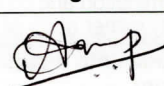
**Nomination Details**

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

Nomination can be made upto three nominees in the account.		Details of 1 <sup>st</sup> Nominee	Details of 2 <sup>nd</sup> Nominee	Details of 3 <sup>rd</sup> Nominee
1	Name of the nominee(s) (Mr./Ms.)	INDIRO S. IEGUDE		
2	Share of each Nominee Equally <input type="checkbox"/> <small>[If not equally, please specify percentage]</small>	100 %	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.				
3	Relationship With the Applicant (If Any)	SPOUSE		
4	Address of Nominee(s)  PIN Code	HOUSE NO. 28/2543-8 GATE NO. 22 CHINAR HOUSE ALUNKAL ROAD ERNAKULAM 682020		
5	Mobile/Telephone No. of nominee(s)			
6	Email ID of nominee(s)			
7	Nominee Identification details- [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity ID <input type="checkbox"/> Demat Account			

Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:

8	Date of Birth {in case of minor nominee(s)}			
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s)}			
10	Address of Guardian(s)  PIN Code			
11	Mobile/Telephone no. of Guardian			
12	Email ID of Guardian			
13	Relationship of Guardian with nominee			
14	Guardian Identification details- [Please tick any one of following and provide details of same]  <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity ID <input type="checkbox"/> Demat Account			

Name(s) of holder(s)		Signature(s) of holder								
Sole/ First Holder/ Guardian (in case sole holder is minor) (Mr./Ms.)	SUNIL KUMAR HEGDE									
Second Holder (Mr./Ms.)		X								
Third Holder (Mr./Ms.)		X								
Signature of Witness for Nomination										
Name of the Witness	Address	Signature of witness								
ANOOB	GIRDE VILLA, ERINAKULAM									
		Date <table border="1"> <tr> <td>D</td><td>D</td><td>M</td><td>M</td><td>Y</td><td>Y</td><td>Y</td><td>Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
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"
  - a) 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.


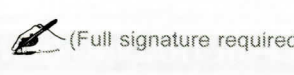

\* Strikeout if not applicable

**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 :
SUNIL KUMAR HEGDE	 (Full signature required)

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)
	SUNIL KUMAR HEGDE		
Signature(s)	 (Full signature required)	 (Full signature required)	 (Full signature required)

Place :

Date:

## 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.  
Copy of demat account holding statement.

Net worth certificate.  
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.*

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

UCC Code allotted to the Client		
DP ID :	<input type="checkbox"/> 12051800 <input type="checkbox"/> Not Applicable	
	Documents verified with Originals	Client Interviewed by
Name of the Employee	SWAPNA	SWAPNA
Employee Code	112	112
Designation of the employee	OFFICER	OFFICER
Date	17/11/17	17/11/17
Signature		
Place	ERNAKULAM	ERNAKULAM
<p>I/We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.</p>		
Signature of the Branch Manager	Seal/Stamp of Authorized Intermediary (Branch/Sub-broker/Authorised Person)	
Date :		

## DETAILS OF LEAD GENERATOR FOR TRADING BENEFITS

Employee name	
Employee Code	
Lead ID	

# SCHEDULE OF CHARGES FOR TRADING CLIENTS

EQUITY CASH SEGMENT						
Offline			Online (Not applicable for NRI clients)			
Delivery Brokerage		Intraday Brokerage	Daily Volume	Delivery Brokerage		
0.50%		0-25 Lac	0.05%	0.3%		
		25-50 Lac	0.04%			
		50 Lac - 1 Cr	0.035%			
		1 Cr & Above	0.03%			
DERIVATIVE SEGMENT						
Stock Futures		Index Futures		Futures	Options (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 per lot	Rs 150 per lot
50 Lac to 1 Cr	0.035%	50 Lac to 2 Cr	0.03%			
1 Cr & Above	0.03%	2 Cr to 5 Cr	0.025%			
		5 Cr and Above	0.02%			
Options (Lot wise)			Minimum Brokerage of Online trades.			
Intraday	CarryForward		Rs 20/- per contract or 1 paise per share whichever is higher. Both subject to maximum of Rs 0.25 per share/debenture or 2.5% of the contract price per share/debenture whichever is higher.			
Rs 150 per lot	Rs 200 per lot		In case the contract note is delivered by post then Rs 20/- per contract or 5 paise per share whichever is higher. Both subject to maximum of Rs 0.25 per share/debenture or 2.5% of the contract price per share/debenture whichever is higher.			
Currency			Minimum Brokerage of derivative segment both offline and online trades.			
Instrument	Symbol	Brokerage per lot (Rs.)				
FUTCUR	EURINR	12.50 (applicable on both sides)				
FUTCUR	GBPINR	15.00 (applicable on both sides)				
FUTCUR	JPYINR	10.00 (applicable on both sides)				
FUTCUR & OPTCUR	USDINR	10.00 (applicable on both sides)				
The Brokerage for Interest Rate Futures segment (IRF) = 0.02% on the value of the contract.			Rs 50/- per order for every off line order (executed) using the branch set up in Currency and F&O segment.			
Minimum Brokerage of Offline trades.			Both subject to maximum of 2.5% of premium amount or 100 Rs per lot whichever is higher.			
DCN+POA Clients: Rs.20 per order for every order (executed), Rs.20 per Scrip or 1 paise per share whichever is higher, round off to two decimal places.			Brokerage in Expiry/Exercise/ Assignment of Derivative contracts: Nil			
NON-DCN/NON-POA Clients: Rs.20 per order for every order (executed), Rs 30/- per scrip or 5 paise per share whichever is higher, round off to two decimal places.			SCHEDULE OF CHARGES FOR NRI CLIENTS: Separate sheet attached			
Contract wise Rs.30/- Minimum applicable to Rajasthan/ UP/Delhi/ Punjab/Gujarat/ WB/MP/Jammu & Kashmir states.						
Both subject to maximum of Rs 0.25 per share/debenture or 2.5% of the contract price per share/debenture whichever is higher.						
UAE Exchange reserves the right to revise brokerage structure & other statutory charges as applicable under respective laws by display of the same on the trading website/customer care/direct communication. Old rate will be applicable for existing clients submitting this booklet as part of KYC updation.						

Statutory Charges (Applicable to Offline and Online Clients as the case may be)		*Miscellaneous Charges			
		SMS Alert Service		Rs 100/- per month	
		Printed Statement Request		Rs 50/- per request (through ordinary post)	
Securities Transaction Tax (STT)		Cheque Bounce/Cancellation		Rs 250/-	
Delivery in Cash	0.10%	Interest on delayed Payments		24% per annum. Subject to change	
Intraday in Cash only on selling side	0.025%	*Inter-Settlement Charges (For Clients who have Demat Account with UAE Exchange)			
Futures only on selling side	0.01%	Regular Service Demat Account (RSDA)		Basic Service Demat Account (BSDA)	
Options only on selling side	0.05%	Electronic Communication	Physical Communication	Electronic Communication	Physical Communication
Sale of an option, where option is exercised	0.125%	0.02% subject to a minimum of Rs.15/- and maximum of Rs.40/- per transaction.	0.02% subject to a minimum of Rs.20/- and maximum of Rs.40/- per transaction.	0.05% subject to a minimum of Rs.50/- and maximum of Rs.75/- per transaction.	0.05% subject to a minimum of Rs.75/- and maximum of Rs.100/- per transaction.
Goods & Service Tax (GST)	18%	*Inter-Settlement Charges ( For Clients who do not have Demat Account with UAE Exchange)			
*Exchange Levy	As applicable from time to time	Who avail electronic communication		Who avail physical communication	
Stamp Duty		0.02% subject to a minimum of Rs.15/- and maximum of Rs.40/- per transaction.		0.02% subject to a minimum of Rs.20/- and maximum of Rs.40/- per transaction.	
*All charges are exclusive of taxes, Levies and other statutory charges					


 Signature of Trading Account Holder

## SCHEDULE OF CHARGES-DEPOSITORY 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; or Rs.10 per certificate, whichever is higher; + courier charges Rs.35 per scrip. This is subject to a maximum of Rs.5 Lakh per request	Rs.10 for every hundred securities or part thereof; or Rs.10 per certificate, whichever is higher; + courier charges Rs.35 per scrip. This is subject to a maximum of Rs.5 Lakh per request
Custody Charges	Nil	Nil
<b>Transaction Charges</b> {Late Submission of DIS i.e received on pay-in day, will be charged Rs.25/- per transaction}		
<b>A – Market Trades</b>	0.02 % subject to a minimum of Rs.15/- and maximum of Rs.40/- per transaction, if the delivery is through POA/Speed-e with DCN	0.05% subject to a minimum of Rs.50/- and Rs. 75/- maximum per transaction if the delivery is through POA/Speed-e with DCN
a) For transaction through UAE Exchange Debit (Sales)	0.02% subject to a minimum of Rs.20/- and maximum of Rs.40/- per transaction, if the delivery is through DIS or POA without DCN	0.05% subject to a minimum of Rs.75/- and maximum Rs.100/- per transaction for Non DCN clients
Credit (Purchase)	Nil	Nil
b) For transaction through other brokers	0.02% subject to a minimum of Rs.50/- and maximum of Rs.100/- per Transaction	0.05% subject to a minimum of Rs.100/- and maximum of Rs.150/- per transaction
Debit (Sales) Credit	Nil	Nil
<b>B – Off Market Trades</b>	0.02 % subject to a minimum of Rs.20/- and maximum of Rs.40/- per transaction, if the receiving demat accounts is with UAE Exchange. If the receiving demat account is outside UAE Exchange, then 0.02% subject to a minimum of Rs.50/- and maximum of Rs.100/- per transaction	0.05 % subject to a minimum of Rs.50/- and maximum of Rs.75/- per transaction, if the receiving demat accounts is with UAE Exchange. If the receiving demat account is outside UAE Exchange, then 0.05% subject to a minimum of Rs.100/- and maximum of Rs.150/- per transaction
Credit	Nil	Nil
<b>Pledge Charges</b>		
Pledge creation	Rs.50/- per transaction	Rs.100/- per transaction
Pledge closure	Nil	Nil
Pledge Invocation	Rs.50/- per transaction	Rs.100 per transaction
<b>Annual Maintenance Charges</b>		
i. Resident Accounts Resident Accounts using electronic communication (DCN) New Clients	Rs.600/- Rs.450/- (Not applicable in first FY for new clients) Rs.600/- payable equally in 4 Quarterly Installments of Rs.150/- each for first FY	BSDA Type 1: Nil for holding value till Rs.50,000/-
ii. NRIs Accounts iii. NRI Accounts using electronic communication (DCN)	Rs.2000/- Rs.750/- (Not applicable in first FY/quarter for new clients)	BSDA Type 2: Rs.100/- p.a. for holding value 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 holder 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.

 (Full signature required)  
(Sole/First Holder Signature)

 (Full signature required)  
(Second Holder Signature)

 (Full signature required)  
(Third Holder Signature)

**POWER OF ATTORNEY FOR BROKING AND OTHER PRODUCTS & SERVICES**THIS **POWER OF ATTORNEY** MADE AT \_\_\_\_\_ THIS \_\_\_\_\_ DAY OF \_\_\_\_\_ 20\_\_ BY:SUNIL KUMAR HEGDE an Indian, residing at 1-HOUSE NO. 28/2543-B,  
GATE NO. 22, CHINOR HOUSE, BLUNKOL ROAD, CHILAVANOR (hereinafter referred to as the“ **Client** ” or “ **Holder** ”) which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its executors, administrators, successors and assigns;

AND \*

1) \_\_\_\_\_ an Indian, residing at \_\_\_\_\_

2) \_\_\_\_\_ an Indian, residing at \_\_\_\_\_

3) \_\_\_\_\_ an Indian, residing at \_\_\_\_\_

with Demat Account in the following manner a) DP ID \_\_\_\_\_ client ID \_\_\_\_\_

b)DPID \_\_\_\_\_ clientID \_\_\_\_\_ c)DPID \_\_\_\_\_

client ID \_\_\_\_\_ [hereinafter referred to as the “**Demat Account Holder**” or “**Joint Demat Account Holders\***” as the case may be (\*only when the Demat a/c is in joint names)], which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its executors, administrators, successors and assigns of the **First Part**, IN FAVOUR OF **UAE Exchange & Finance Ltd.**, a company incorporated under the provisions of the Companies Act, 1956, (hereinafter referred to as “**UAE Exchange**”) having its Administrative Office at : Second Floor, Habeeb Tower, M G Road, Kochi - 682 011 Tel : 0484 - 2370496, 2370497, which expression shall, unless repugnant to the context or meaning thereof, be deemed to mean and include its executors, administrators, successors and assigns by way of amalgamation and/or merger and registered as a stock broker of National Stock Exchange of India Ltd. (NSE) [SEBI registration number INB 230655838 in the capital market segment with CM BPID IN502548 & Pool account No. 1205180000007038, IN30001110004714, Early payin account 1100001100016814, NSCCL (MFSS) 1205180000007038 CM BPID IN502548], BSE Ltd in the capital market segment with CMBPID IN666747 & Pool account No. 1205180000099806, IN30133021862567, Early payin account 1100001000023935, of the **Second Part**.

**WHEREAS :**

1. 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.;
2. 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)
**First Holder in Demat A/c**
  
(Full signature required)
**Second Holder in Demat A/c**
  
(Full signature required)
**Third 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 thereof 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) as may 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 trades executed by me/us on the stock exchange through UAE Exchange, if UAE Exchange so desires to avail exposure against the said collaterals.



**First Holder in Demat A/c**



**Second Holder in Demat A/c**



**Third 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 Attorney, 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 Trading Account Holder:**

SUNIL KUMAR HEGDE

**Signature of the Trading Account Holder**

 (Full signature required)

1) Name of Demat Account Holder:		Demat Account No:	
First Holder	SUNIL KUMAR HEGDE	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)

**RUNNING ACCOUNT AUTHORISATION**

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 on revocation 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 SUNIL KUMAR HEGDE

Trade code.....

Branch Name .....

Place... ERNAKULAM .....

Date.....

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

MANDATORY FOR NR CLIENTS

**NRI UNDERTAKING FOR NRE PIS ACCOUNT**

To,  
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:

1. 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 as per the agreement executed on ..... To 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-selling 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 bear liberty to deactivate my trading account and I shall not raise any claim or dispute against UAE Exchange, for the said action.

Place.....

Date.....

 (Full signature required)  
(Name & Signature of the Client/ Authorised Signatory)

**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 .....

S/D/W of ..... residing at .....

here by agree and undertake as follows:

1. 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 be at 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)

# DECLARATION NON -REPATRIATION BASIS NRO SHARES

Sr. No.	Name of Co	ISIN	Date of acquisition	No of shares	Face Value	Acquisition Price	Total Cost	Mode of Acquisition (IPO,Bonus/Split / Amalgamation/De merger/ Secondary Market)
1								
2								
3								
4								
5								
6								
7								
8								
9								
10								
11								
12								
13								
14								
15								
16								
17								
18								
19								
20								
21								
22								
23								
24								
25								

Name:

Date:

Signature:  (Full signature required)

# DECLARATION NON -REPATRIATION BASIS NRO SHARES

Sr. No.	Name of Co	ISIN	Date of acquisition	No of shares	Face Value	Acquisition Price	Total Cost	Mode of Acquisition (IPO,Bonus/Split / Amalgamation/De merger/ Secondary Market)
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								

Name:

Date:

Signature:  (Full signature required)

**TRADING - CLIENT AUTHORIZATION TO THIRD PARTY**

(Minor cannot be appointed)

Non-mandatory

To,

UAE Exchange &amp; Finance Ltd.

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

I/We \_\_\_\_\_ Indian Resident/NRI, aged \_\_\_\_\_  
 Years, S/o/D/o \_\_\_\_\_ residing at \_\_\_\_\_

being a client of UAE Exchange & Finance Ltd. with Trade Code \_\_\_\_\_ do hereby nominate, appoint and  
 authorize Mr./Mrs./Ms. \_\_\_\_\_ aged \_\_\_\_\_ years 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)

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 personSignature 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

Place: ERINAKULAM

Date:

Name: SUNIL KUMAR HEGDE

Signature of the Client

 (Full signature required)

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

I/ Mr./Ms. SUNIL KUMAR HEGDE  
 aged 43 S.D.W of SUNIL KUMAR HEGDE, residing  
 at ERNAKULAM hereby 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.
4. That in the event of the happening of the above, I shall not raise any claim or dispute against UAE Exchange.

Place. ERNAKULAM

Date. 16/11/17

Name and Signature of Client

 (Full signature required)

## 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.

Both the services have different features as detailed below:

Regular Services Demat Account (RSDA)	Basic Services Demat Account (BSDA)
Lower Transaction Charges	Higher Transaction Charges. (See the attached for Charges)
Statement on demand with no additional charges	Only two Statements are free of cost. Rs25/- per additional physical Statement request
24/7 Customer Care support through our customer care website: www.uaexchange-etrad.com	Not eligible for Customer Care support
Email alert on transactions carried out in the account	No email alerts on transactions.
Free Monthly Transaction Statements.	Free Quarterly Transaction Statements.
Multiple Accounts facility for same person as first holder across all DPs and Depositories	Only one account across all DPs and Depositories is permitted
Call Centre Support from Monday to Saturday	No Call Centre Support

\*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):

  
(Full signature required)

**Sole/Fist Holder**

  
(Full signature required)

**Joint Holder-1**

  
(Full signature required)

**Joint Holder-2**

Date : 16/11/17

Place : ERNAKULAM

## ADDENDUM FOR OPENING E-INSURANCE ACCOUNT

UAE Exchange & Finance Ltd.

Approved Person Reg. No : IRDA/IR2/2013/006

Second Floor, Habeeb Tower, M G Road, Kochi - 682011

Tel : 0484 - 2370496, 2370497

Booklet No.

Account Opening  
(Scan Based) Serial No.

I wish to apply for an e-Insurance 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 eIA Applicant

Permanent

☐

Correspondance

☐

Others

☐

Telephone

--	--	--	--	--	--	--	--	--	--

Mobile

--	--	--	--	--	--	--	--	--	--

Email ID

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

☐ Yes

☐ No

(If none of the option is selected, it will be considered as YES)

(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 in case 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 eIA Holder

Signature of eIA Holder

### FOR UAE EXCHANGE & FINANCE LTD. OFFICE USE ONLY

Staff Name :

EIA. No. :

Employee Code :

Trade Code :

Signature :

Client ID :

Branch Seal :

Date :

### Important Points

- An individual can hold only a single eIA
- This form is meant for an individual to open an e-Insurance Account (eIA)
- An eIA 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

### CLIENT 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.

### Debit mandate from NACH / ECS / DIRECT DEBIT

<b>UAE XCHANGE™</b> UMRN <input type="text"/>		Date <input type="text"/>
Tick (✓)	Sponsor Bank Code <input type="text"/>	Unity Code <input type="text"/>
<input checked="" type="checkbox"/> CREATE <input type="checkbox"/> MODIFY <input type="checkbox"/> CANCEL	I/We hereby authorize <u>Uae Exchange &amp; Finance Ltd</u> to debit (tick ✓) <u>SB /CA /CC /SB NRE /SB NRO /Other</u>	
Bank a/c number <input type="text"/>		
with Bank <input type="text"/> IFSC <input type="text"/> or MICR <input type="text"/>		
an amount of Rupees <input type="text"/> ₹ <input type="text"/>		
FREQUENCY <input checked="" type="checkbox"/> Mthly <input checked="" type="checkbox"/> Qtly <input checked="" type="checkbox"/> H-Yrly <input checked="" type="checkbox"/> Yrly <input checked="" type="checkbox"/> As & when presented		DEBIT TYPE <input checked="" type="checkbox"/> Fixed Amount <input checked="" type="checkbox"/> Maximum Amount
Reference 1 <input type="text"/>		Phone No. <input type="text"/>
Reference 2 <input type="text"/>		Phone No. <input type="text"/>
I agree for the debit of mandate processing charges by the bank whom i am authorizing to debit my account as per latest schedule of charges of the bank		
PERIOD From <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> To <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Or <input type="checkbox"/> Until Cancelled		
1. <input type="text"/> 2. <input type="text"/> 3. <input type="text"/>		

- This is to confirm that the declaration has been carefully read, understood & made by me/ us. I am authorizing the user entity / corporate to debit my account.
- I have understood 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.

## **DOs**

- 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@uaeexchange.co.in](mailto:grievances@uaeexchange.co.in) Administrative Office address UAE Exchange & Finance Ltd. Second Floor, Habeeb Tower, M G Road, Kochi - 682 011 Tel : 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.\_\_\_\_\_

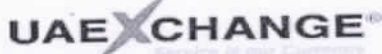
### **UAE Exchange & Finance Ltd.**

Administrative office address:

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

Email : [client.reg@uaeexchange.co.in](mailto:client.reg@uaeexchange.co.in), Web : [www.uaeexchange-etrade.com](http://www.uaeexchange-etrade.com)

Please feel free to call us at : 1800 3000 9565 | 1800 3000 1555 (Toll Free)



UAE EXCHANGE & FINANCE LTD.

MEMBER: NATIONAL STOCK EXCHANGE OF INDIA LTD/ CENTRAL DEPOSITORY SERVICES (INDIA) LTD.  
Second Floor, Habeeb Tower, M.G.Road, Cochin, 682011 Phone: 0484-2370496/7, Mail: [nse.support@uaeexchange.co.in](mailto:nse.support@uaeexchange.co.in)  
SEBI Regn. No (CDSL) IN-DP-CDSL-416-2007

OPTION FORM FOR ISSUE OF DIS BOOKLET

Date

DP ID	1	2	0	5	1	8	0	0	Client ID								
Name of First / Sole Holder		SUNIL KUMAR HEGDE															
Name of Second Holder																	
Name of Third Holder																	

I / We hereby state that:

[Select one of the options given below]

☒ **OPTION 1:**

I / We require you to issue Delivery Instruction Slip (DIS) booklet to me / us immediately on opening my / our CDSL account though I / we have issued a Power of Attorney (POA) in favor of **UAE Exchange and Finance Ltd** for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures			

OR

☒ **OPTION 2:**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / in favour of **UAE Exchange and Finance Ltd** for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member. However, the Delivery Instruction Slip (DIS) booklet should be issued to me / us immediately on my / our request at any later date.

Yours faithfully

	First/Sole Holder	Second Joint Holder	Third Joint Holder
Name	SUNIL KUMAR HEGDE		
Signatures			

===== (Please Tear Here) =====  
Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from:

DP ID	1	2	0	5	1	8	0	0	Client ID								
Name of the Sole / First Holder																	
Name of Second joint Holder																	
Name of Third joint Holder																	

Depository Participant Seal and Signature