



**Client Registration Form**

**ALICE BLUE FINANCIAL SERVICES PRIVATE LTD**

**Individual / Non Individual**

**DEMAT & TRADING REGISTRATION**

Client id	:	_____
Client Name	:	_____
BO ID	:	_____
Branch/RM Name	:	_____
Sub-Broker/ AP Name	:	_____
KRA Status	:	_____
Terminal Code	:	_____
PAN No	:	_____

**FOR OFFICE USE ONLY**

- NSE Cash, BSE Cash ( Cash / Mutual Fund )
- NSE FNO, BSE FNO ( FNO )
- NSE Currency, BSE Currency ( Currency )
- MCX, NSE ( Commodity )

**Status :**

## 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/PIO Card/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 in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.
12. Copy of cancelled cheque leaf/passbook/Bank statement specifying name of the constituent, MICR code or/and IFSC code of the Bank should be submitted.
13. Demat master or recent holding statement issued by DP, bearing name of the client.
14. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/ sub broker's office.

### B. Proof of Identity (POI): -List of documents admissible as Proof of Identity:

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
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, Scheduled 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/ 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 and 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/Gazette Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents 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 Undertakings, Scheduled 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 FII/sub account, DDPI given by FII/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. Official liquidator, Court receiver 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 upto Rs 50,000/-p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution 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, Gazette Officer, Manager of a Scheduled 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.

Employee Signature

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CDSL	85300	IN-DP-364-2018																				
<p><b>Registered Office Address :</b> Old No.56/2 ,New No.58, LIC Nagar, Vinayagar Kovil Street, Erode - 8,Tamil Nadu – 638002. Phone : 0424 - 2220124, Fax : 4021124, <b>Correspondence Office :</b> No. 153/2, M.R.B.Arcade, Bagalur Main Road, Dwaraka Nagar, Yelahanka, Bangalore - 560 063, Karnataka Email: <a href="mailto:askus@aliceblueindia.com">askus@aliceblueindia.com</a>, Web:<a href="http://aliceblueonline.com">aliceblueonline.com</a>, Tel:08035215000, 08045490850 <b>Compliance officer :</b> Mr. Saravanan Thangavel, Contact no: 08045490859, Email:<a href="mailto:compliance@aliceblueindia.com">compliance@aliceblueindia.com</a> <b>CEO : Mr. M. Sidhavelayutham, Contact No:+91-9840992691, Email:sidhavelayutham@aliceblueindia.com</b> In case of any grievance the client can send a mail at <a href="mailto:grievances@aliceblueindia.com">grievances@aliceblueindia.com</a></p>																						

**GSTIN No : 29AAPCA2445K1Z9**

**CIN : U65929TZ2017PTC028583**

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

Important Instructions:

A) Fields marked with '\*' are mandatory fields.

B) Tick '✓' wherever applicable.

C) Please fill the form in English and in BLOCK Letters.

D) Please fill the date in DD-MM-YYYY format.

E) For particular section update, please tick('✓') in the box section number and strike off the sections not required to be updated.

F) Please read section wise detailed guidelines / instructions at the end.

G) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.

H) List of two character ISO 3166 country codes is available at the end.

I) KYC number of applicant is mandatory for update application.

J) The 'OTP based E-KYC' check box is to be checked for accounts opened using OTP based E-KYC in non-face to face mode.



For office use Only	Application Type*	<input type="checkbox"/> New	<input type="checkbox"/> Update	Application No. _____
To be filled by financial institution	KYC Number	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> (Mandatory for KYC update request)		
	Account Type*	<input type="checkbox"/> Normal	<input type="checkbox"/> Minor	<input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)

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

Name*(Same as ID Proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/> Mr	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/> Mrs	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	Marital Status*	<input type="checkbox"/> Single	<input type="checkbox"/> Married
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	
Nationality*	<input type="checkbox"/> Indian	<input type="checkbox"/> Others ISO 3166 Country Code		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin
PAN*	<input type="text"/>	<input type="checkbox"/> Form 60 furnished		

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

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

<input type="checkbox"/> A-Passport Number	<input type="text"/>	<b>PHOTO</b>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>	
<input type="checkbox"/> C-Driving Licence	<input type="text"/>	
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>	
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>	
<input type="checkbox"/> F - Proof of Possession of Aadhaar	<input type="text"/>	

II.  E-KYC Authentication

III.  Offline verification of Aadhaar

Address

Line1*	<input type="text"/>		
Line2*	<input type="text"/>		
Line3*	<input type="text"/>	City / Town / Village*	<input type="text"/>
District*	<input type="text"/>	Pin / Post Code* <input type="text"/>	State / U.T Code* <input type="text"/> ISO 3166 Country Code* <input type="text"/> <input type="text"/>

**3. CURRENT ADDRESS DETAILS\* (Please refer instruction B at the end)**

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

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

<input type="checkbox"/> A-Passport Number	<input type="text"/>
<input type="checkbox"/> B-Voter ID Card	<input type="text"/>
<input type="checkbox"/> C-Driving Licence	<input type="text"/>
<input type="checkbox"/> D-NREGA Job Card	<input type="text"/>
<input type="checkbox"/> E-National Population Register Letter	<input type="text"/>
<input type="checkbox"/> F - Proof of Possession of Aadhaar	<input type="text"/>

II.  E-KYC Authentication

III.  Offline verification of Aadhaar

IV.  Deemed Proof of Address - Document Type Code

V.  Self Declaration

Address

Line1*	<input type="text"/>		
Line2*	<input type="text"/>		
Line3*	<input type="text"/>	City / Town / Village*	<input type="text"/>
District*	<input type="text"/>	Pin / Post Code* <input type="text"/>	State / U.T Code* <input type="text"/> ISO 3166 Country Code* <input type="text"/> <input type="text"/>



MANDATORY



Alice Blue Financial Services Private LTD

No.153/2, M.R.B. Arcade, Bagalur Main Road, Dwaraka Nagar, Yelahanka, Bangalore - 560063. Karnataka.

DEPOSITORY ACCOUNT DETAILS This Client ID blank if you are opening DP Account along with Trading Account.

- The First Holder in the DP Account must be the Trading Account Holder.

Depository Participant Name: Alice Blue Financial Services Private LTD Beneficiary Name:
Depository Name CDSL DP ID: Client ID
Depository Participant Name: Beneficiary Name:

Type of Account (Please tick whichever is applicable)

Status Sub - Status
Individual Individual Resident Individual Director Individual Director's Relative
Individual Promoter Individual Minor Individual Margin Trading A/C MANTRA
Individual HUF / AOP Others (Specify)
NRI NRI Repatriable Promoter NRI Repatriable NRI Non-Repatriable
NRI Non-Repatriable Promoter NRI Depository Receipts
Foreign National Foreign Depository Receipts Others (Specify)

Type of Account (Please tick whichever is applicable)

To be filled by the applicant in BLOCK LETTERS in English with a black ballpoint pen)

I / We request you to open a Demat Account in my / our name as per the following details:

Holders Details

Sole/First Holder's Name UID PAN
Second Holder's Name UID PAN
Third Holder's Name UID PAN

Other Details

Sole / First Holder Gross Annual Income: Net Worth: Occupation

Second Holder Gross Annual Income: Net Worth: Occupation

Third Holder Gross Annual Income: Net Worth: Occupation

Please tick, If Applicable: Political Exposure Person Related to a Political Exposure Person
Guardian's Name PAN Relationship with the applicant

**C. TRADING PREFERENCES**

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

Exchanges	NSE, BSE			MCX, NSE
All Segments	Cash / Mutual Fund	F&O	Currency	Commodity Derivatives

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

**Note : If you want to trade on a new segment or exchange in the future, you must submit an additional segment request.****BANK ACCOUNT DETAILS**

Bank Name	Branch Name /Add/Code city, state, country, pincode	Bank A/c No.	A/c Type S/C/O)+	MICR Code	IFSC Code

+S-Saving C-Current will not be able to do online fund transfers) O- Others-In case of NRI/NRE/NRO \$ For Demat A/c &amp; Default for Pay out

i) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, or) ii) Photocopy of the Bank Statement having name and address of the BO iii) Photocopy of the Passbook having name and address of the BO, or) iv) Letter from the Bank. • In case of options ii, iii) and iv) above, MICR code of the branch should be present / mentioned on the document.

<b>SMS Alert Facility</b> Refer to Terms & Conditions given as <b>Annexure</b>	MOBILE NO. as specified in KYC form) [ Mandatory , if you are giving DDPI] if DDPI is not granted & if you do not wish to avail of this facility, please cancel this option).	<input type="checkbox"/>
Easi	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/>

ADDITIONAL DETAILS if not marked, the default option would be 'YES'

I/We wish to receive Contract Note and other related reports/statements/documents in electronic mode.	<input type="checkbox"/> No <input type="checkbox"/> Yes
I/We wish to avail of the facility of internet trading/ wireless technology please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mother's Maiden Name _____	
Number of years of Investment/Trading Experience	Years <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> No Experience

I / We instruct the DP to receive each and every credit in my / our account

[Automatic Credit]

If not marked, the default option would be `Yes')

 Yes  NoAccount Statement Requirement  Annually

I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID : as specified in KYC form

 Yes  No

I / We would like to share the email ID with the RTA

 Yes  No

Basic Services Demat A/C facility

 Yes  No

I/We wish to receive dividend/interest directly in to my/our bank account as given below through ECS.(If not marked, the default option would be 'Yes')

 Yes  No

[ECS is mandatory for locations notified by SEBI from time to time]

I / We would like to receive the Annual Report  Physical/  Electronic /  Both Physical and Electronic Tick the applicable box. If not marked the default option would be in Electronic)

I / We authorise Alice Blue Financial Services Private LTD to contact me via multiple channels regarding the information about updates to compliance, trading, products, and services, as well as the launch of new products and services. This authorization shall override my/our registration for DND / DNC / NDNC, if any

 Yes  No

By submitting the form, you agree to open an account with Alice Blue Financial Services Private Limited in electronic-KYC mode.

 Yes  No

**Option for Issue of DIS Booklet****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 DDPI In favour of Alice Blue Financial Services Private Ltd. for executing delivery Instructions for settling stock exchange trades (Settlement related transactions) effected through such Clearing Member.

or

**Option 2 :**

I/We do not require the Delivery Instruction Slip (DIS) for the time being, Since I/We have Issued a DDPI in favour Alice Blue Financial Services Private Ltd. For executing the delivery Instructions for settling stock exchange trades (settlement related transaction) 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.

I/We hereby select  Opt 1  Opt 2

First holder Signature

Whether dealing with any other stock broker/sub broker if case dealing with multiple stock brokers/sub-brokers, provide details of all.

Yes  No

**PAST ACTIONS**

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

Yes  No

**INTRODUCER DETAILS**

ID of Introducer

Status of Introducer  Remiser

Existing Client

Others Please  
(specify) \_\_\_\_\_

Partner Code / Client Code / Employee Code  
SAP ID)

No.153/2, M.R.B. Arcade, Bagalur Main Road,  
Dwaraka Nagar,  
Yelahanka, Bangalore - 560063. Karnataka.

City/Town/Village

Pin Code

State

Tel No.

Signature of Introducer  
(Optional)



**DECLARATION**

1. 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.
2. I/We confirm having read/been explained and understood the contents of document on policy and procedures of the stock broker and the tariff sheet.
3. I/We future confirm having read and understood the contents of the Rights and Obligation document(s) and Risk Disclosure Document. I/We do hereby agree to be bound by such provisios as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock brokers designated website,i.e www.aliceblueonline.com.

PLACE :

DATE :

**FOR OFFICE USE ONLY (Employee to fill details and sign)**

UCC Code allotted to the Client :

We undertake tha 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 if Rights and Obligationsdocument(s),RDD and Guidance Note. We have given/sent him a copy of all the KYC documents would be duly intimated to the clients. We also undertake that any changes in the Rights and Obligations and RDD would be made available on our website, if any, for the information of the clients.

DATE :

**Employee Name :**

**Employee Code :**

Employee Signature

**INSTRUCTIONS/ CHECK LIST**

1. 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 Stdp, Copy of Form 16
- Net worth certificate
- Copy of demat account holding statement
- Bank account statement for last 6 months

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. 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 ctidents, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibitdty of carrying out 'In-person' verification of the non-resident ctidents by the stock broker's staff, attestation of KYC documents by Notary Pubtdc, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the ctident resides may be permitted.

5. For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**ANNEXURE - REGULAR / BASIC SERVICES DEMAT ACCOUNT (BSDA) AND SEPARATE  
MOBILE NUMBER & EMAIL ID DECLARATION**

**DECLARATION BY DEMAT ACCOUNT HOLDER/s**

DATE :

Application No.

DP ID

Client ID

Dear Sir/Madam,

The appended tariff will be applicable for the customer opting Regular/Basic services Demat Account.

**ANNEXURE - REGULAR / BASIC SERVICES DEMAT ACCOUNT (BSDA)**

		<input type="checkbox"/> I wish to open a Regular Demat Account	<input type="checkbox"/> I wish to open a Basic Services Demat Account (BSDA)			
Sr. No	Nature of Services	Regular Demat Account		Basic Services Demat Account(BSDA)		
		Fees	Min	Fees	Min	
1	Account Opening Charges					
2	Debit Transaction Equity/Mutual Funds(Market/Off Market)	0.04% Of the value of the txn	Rs. 20/- Rs. 25/- Rs. 40/-	0.06% Of the value of the txn	Rs. 40/- Rs. 45/- Rs. 60/-	
3	Debit Transaction Equity/Mutual Funds(Market/Off Market)	0.04% Of the value of the txn (Max Rs. 5000/-)	Rs. 20/- Rs. 25/- Rs. 40/-	0.06% Of the value of the txn (Max Rs. 5000/-)	Rs. 40/- Rs. 45/- Rs. 60/-	
4	Credit transactions	Nil				
5	Pledge Services (Creation/Invocation/Closure)	0.02% Of the value of the txn	Rs. 40/-	0.04% Of the value of the txn	Rs. 60/-	
		0.04% Of the value of the txn	Rs. 40/-	0.06% Of the value of the txn	Rs. 60/-	
6	Reissuance of Delivery Instruction Booklet(DIB)	Rs.100/- per Booklet		Rs.100/- per Booklet		
7	Dematerialisation Certificate + Dematerialisation Request	Rs.10/- per Certificate + Rs.50/- per request	Rs.40/-	Rs.5/- per Certificate + Rs.35/- per request	Rs.40/-	
8	Rematerialisation	Rematerialisation Request	Rs.30/- per request+NSDL/CDSL actual,Currently a) Rs.10/- for every hundred securities or part thereof a flat fee of Rs.10/- per certificate whichever is higher	Rs.40/-(min) Rs.5,00,000(max)	Rs.30/- per request+NSDL/CDSL actual,Currently a) Rs.10/- for every hundred securities or part thereof a flat fee of Rs.10/- per certificate whichever is higher	Rs.40/-(min)Rs.5,00,000(max)
			Reconversion of Mutual Funds/ Redemption of mutual fund units	Reconversion of Mutual Funds Rs 30/- per request + NSDL/CDSL actual, Currently Rs 5.50/- per request in CDSL	Reconversion of Mutual Funds Rs 30/- per request + NSDL/CDSL actual, Currently Rs 5.50/- per request in CDSL	
			Redemption of Mutual Funds Rs 30/- per request + NSDL/CDSL actual, Currently Rs 5.50/- per request in CDSL	Redemption of Mutual Funds Rs 30/- per request + NSDL/CDSL actual, Currently Rs 5.50/- per request in CDSL		
9	Courier/Postal charges only (Adhoc Statement)	Inland Address Rs.100/- per request		Rs.100/- per request		
		Foreign Address Rs.500/- per request		Rs.500/- per request		
10	Annual Maintenance Charges	400 + GST		Nil		
11	DDPI E-stamping charges	Applicable as per stamp paper value, processing fee + GST				

**Terms & Conditions:**

1. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
2. The above charges are exclusive of GST levied @ 18% and other taxes/statutory charges levied by government bodies/statutory authorities from time to time, which will be charged as applicable.
3. In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issues by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard Program Demat accounts without further reference to the respective customers and will be levied standard program pricing.
4. In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
5. The value of the transaction will be in accordance with rates provided by Depositories (NSDL/CDSL).
6. The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any services not quoted above will be charged separately.
7. The operating instructions for the joint accounts must be signed by all the holders.
8. All instructions for transfer must be received at the designated DP servicing branches at least 24 hours before the execution date.
9. The charges for processing of instructions submitted on the execution date (accepted at client risk) will be 0.25% on the value of transaction, minimum of RS.25/- per instruction.
10. In case of non-recovery of Debit charges due to inadequate balance in your lined trading account or inadequate advances fees or invalid trading account, the Depository services for your account will be temporarily discontinued. Any request for resuming the services will be charged at Rs.250/- and services for your account will be temporarily discontinued. Any request for resuming the services will be charged at Rs.250/- and services will be resumed in a minimum of three working days from the date of receipt of request with Alice Blue Financial Services Private Ltd and post payment of all outstanding dues towards depository charges.
11. In case the Demat accounts are with nil balances/transactions or in case if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.

**SEPARATE MOBILE NUMBER & EMAIL ID DECLARATION**

	Name of the Customer	Mobile Number	Email ID of the customer
1st Account holder			
2nd Account holder			
3rd Account holder			

  

Signaure 1st holder	Signaure 2nd holder (if applicable)	Signaure 3rd holder (if applicable)
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## DP Related Details

### Fees:

Depository reserves the right to charge such fees from time to time as it deems fit for providing this services to the BO.

### Disclaimer:

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warranty the confidentiality or security of the SMS alerts transmitted through a services provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository gives no warranty with respect to the quality of the services provided by the services provider. The Depository will not be liable for any unauthorized use or access to the information and/ or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by any third person.

### Liability and Indemnity:

The Depository shall not be liable for any breach of confidentiality by the services provider or by any third person due to unauthorized access to the information meant for the BO. In consideration of the depository providing the services, the BO agrees to indemnify and keep safe, harmless and indemnified the depository and its officials from any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever which a depository may at any time incur, sustain, suffer or be put to as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the services by the BO.

### Amendments:

The depository may amend the terms and conditions at any time with or without giving any prior notice to the BOs. Any such amendments shall be binding on the BOs who are already registered as user of this services.

### Governing Law and Jurisdiction:

Providing the Services as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai. I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/ We consent to CDSL providing to the services provider such information pertaining to account/transactions in my/our account as is necessary for the purposes of generating SMS Alerts by services provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ we further undertake to pay fee/ charges as may be levied by the depository from time to time. I / We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP. I/We am/ are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the services. I/We authorise the DP to use the contact information email ID / mobile no.) as provided in the KYC form for the purpose of Registration.

BO ID

(Please write your 8 digit DPID)

Client ID

(Please write your 8 digit Client ID)

Sole / First Holder's Name

Second Holder's Name

Third Holder's Name

Mobile Number on which messages are to be sent : \* as specified in KYC form

Email ID:\* as specified in KYC form

	First / Sole Holder or Guardian in case of Minor	Second Holder (if applicable)	Third Holder (if applicable)
Signature			

**IMPORTANT: Password for your account will be sent on your registered email ID only, login ID and alerts on mobile no. as mentioned in KYC form**

Date :

Place :

**EXTENDED KYC ANNEXURE - INDIVIDUALS (Including Sole - Proprietors) FATCA/CRS**  
**(Applicable for Resident and Non-Resident Customers)**

**CBDT Terms and Conditions**

The Central Board of Direct Taxes (CBDT) has notified rules 114F to 114H, as a part of the Incometax Rules, 1962, which Rules require indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institution such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation there to. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request of information if you have multiple relationships with Alice Blue Financial services Private Ltd. or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

**CBDT Instruction**

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form. In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/CRS Indicia observed (ticked)	Documentation required for cure of FATCA/CRS Indicia
	If customer does not agree to be specified U.S. person/reportable person status
U.S. Place of Birth	1. Self -certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes. 2. Non-US passport or any non-US government issues document evidencing nationality or citizenship (refer list below) AND 3. Any one of the following documents: a. Certified Copy of Certificate of loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship? or Reason the customer did not obtain U.S. citizenship at birth.
Residence/ mailing address in a country other than India.	1. Self-Certification ( in attached format ) that the account holder is neither a citizen of united states of America nor a resident for tax purposes and 2. Documentary evidence (refer list below)
Telephone number in a country other than India (and no telephone number in India provided)	1. Self-Certification ( in attached format ) that the account holder is neither a citizen of united states of America nor a resident for tax purposes and 2. Documentary evidence (refer list below)
Telephone number in a country other than India (and no telephone number in India provided)	1. Standing instruction to transfer to an account maintained in a country other than India 2. Documentary evidence (refer list below)

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

1. Certificate of residence issues by an authorized government body \*
2. Valid identification issued by an authorized government body\* (e.g.Passport, National Identity Card,etc.)

**\*Government or agency there of or a municipality**

**For Alice Blue Financial Services Private Ltd/ Alice Blue Financial Services**

Sourcing Branch Name \_\_\_\_\_

Branch Code \_\_\_\_\_

Signature Verified and form approved by : BDA/BM employee Code : \_\_\_\_\_

Signature :

## TARRIFF

<b>Brokerage - F-15</b>	
Equity Cash Delivery (NSE / BSE)	Zero
Equity Cash Intraday (NSE/BSE)	Rs.15 per order or 0.05 % ( whichever is lower )
Futures (NFO/BFO/MCX)	Rs.15 per order or 0.05 % ( whichever is lower )
NSE & MCX Options	Rs.15 per order
Currency Futures ( NSE & BSE)	Rs.15 per order or 0.05 % ( whichever is lower )
Currency Options ( NSE & BSE )	Rs.15 per order
<b>Other Charges</b>	
Documentation / Processing Charges	0
For Physical Contract Notes/statements	Actual Postage Charges
For Cheque Bounce/ Cheque Cancellation	Rs. 500 Per Cheque Plus GST
Interest On Delayed Payment	24% PA
Delivery Instruction Book Charges	Rs.150 (From 2nd book request)
Bracket Order Charges	Rs. 4 + GST(per order)
Square Off Charges	Rs. 50 + GST(per order)
Call and Trade Charges	Rs. 50 + GST(per order)
Payment Gateway Charges	Rs. 10 + GST
Short Margin Penalty for Consecutive 3 days	@5% On the Shortfall from fourth day
DDPI E-stamping Charges	Applicable as per the stamp paper value + GST
<b>Transaction Charges (Per crore)</b>	
CASH OPTION	345
CASH FUTURE (INTRA DAY)	345
FNO (FUTURE)	200
FNO (OPTION)	5300
MCX (FUTURE)	260
MCX (OPTION)	5000
CD (FUTURE)	90
CD (OPTION)	3500
Statutory Charges: GST , STT , Transaction Charges , Stamp Duty, etc are applicable as Per rules	
GST 18%	Brokerage, SEBI Charges, Exchange Turnover Charges
<b>Securities Transaction Tax (STT)</b>	
Delivery in Cash	0.10%
Intraday in cash only on selling side	0.025%
Futures only on selling side	0.01%
Options only on selling side	0.05%
Sale of an option, where option is exercised/assigned	0.125%
<b>Commodities Transaction Tax (CTT)</b>	
Futures (only one selling side)	0.01%(Non-agri)
Options (only one selling side)	0.05%
Sale of an option, where option is exercised/assigned	0.0001%
Stamp duty ( Per crore on Buy-side)	Currency - 0.0001%, Commodity F&O - 0.003% & 0.002% , Equity ( Intraday & option - 0.003%, Futures - 0.002%, Delivery - 0.015%)
SEBI Charges	Rs. 15 per Crore

Signature: \_\_\_\_\_

Place \_\_\_\_\_

**VOLUNTARY DOCUMENTS**

**RUNNING ACCOUNT AUTHORISATION**

I/We are dealing through you as a client in order to facilitate ease of operations and upfront requirement of margin for trade. I/We request you to maintain running balance in my own/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation, unless I/We instruct you to transfer the same to my/our account. I/We request you to settle my/our fund and securities account (choose any one).

Quarterly or  Monthly

Except the funds given towards collaterals / margin in the form of Bank Guarantee and / or Fixed Deposit Receipt.

In case I/We have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges. I/We confirm you that I/We will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. I/We confirm you that I/We can revoke the above mentioned authority at any time.

**DISCLOSURE FOR PROPRIETARY TRADING BY ABFSPL**

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19,2003.

ABFSPL discloses to its clients about its policies on Proprietary trades. ABFSPL does proprietary trades in the cash and derivatives segment.

**CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS / TARIFF SHEET**

I acknowledge and declare that i have received in physical / electronic, read and understood, acknowledge and agreed to the contents of-

- 1.The rights and obligations docuemnt [Part-A (page 1-4)]
- 2.The risk disclosure document [Part-A (page5-9)]
- 3.The policies and procedures [Part-A (page9-11)]
- 4.RMS Policy [Part-A (page12-13)]
- 5.The additional rights and obligations document [Part-A (page14-18)]
- 6.Terms And Conditions for availing Transaction Using Secured Texting(TRUST) Services offered by CDS[Part-B (page1)]

DOWNLOAD FORMS AT,  
[www.aliceblueonline.com](http://www.aliceblueonline.com)

NAME :

DATE : / /  PLACE :

## CLIENT REGISTRATION FORM - MUTUAL FUND

### MUTUAL FUND SERVICES SYSTEM FACILITY (MFSS)/ BSE STAR MF CLIENT REGISTRATION FORM

I/we am/are registered as your client with the client code for the purpose of trading in the capital Market Segment of national Stock Exchange of India Ltd. (Exchange) / BSE Ltd.

I/we am/are interested in availing the MFSS/BSE STAR MF Facility of the Exchange for the purpose of dealing in the units of mutual Funds Schemes permitted to be dealt with on the MFSS/BSE STAR MF of the Exchange.

For the purpose of availing the MFSS/BSE STAR MF facility, I/WE state that know your client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS/BSE STAR MF and I/WE further confirm that the details contained in same remain unchanged as on date, I/WE are willing to abide by the terms and conditions as mentioned in the circular dated November 24, 2009 (NSE)/December 02, 2009 (BSE) and as may be specified by the Exchange from the time to time by Securities and Exchange Board of India(SEBI) and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/We choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS / BSE STAR MF.

I/We hereby confirm having read and understood the terms and conditions and disclosures provided overleaf.

For Mfss(NSE)

For BSE STAR MF

### DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITIES / BSE STAR MF PLATFORM

#### 1. Pre - requisites for becoming investor / Client for the New MFSS facility / BSE STAR MF platform.

1.1. The Client who is desirous of investing in units of Mutual Fund Schemes through the New MFSS/the BSE STAR MF.

1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Funds Schemes through the Participant/the broker who is a Mutual Fund Intermediary(MFI) of the new MFSS/BSE STAR MF platform.

1.3. The Client has satisfied itself of the capacity of the Participation/MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant/MFI and the client shall from time to time continue to satisfy itself of such capability of the participant/MFI before executing transacting through the participant/MFI.

1.4. The Client has submitted relevant KYV (Know Your Client) details to the participant/MFIs.

#### 2. Terms and conditions

2.1. The Client shall be bound by circulars/notices issues by NSEIL/BSE from time to time including the circulars issues by NSEIL since 2009 onwards and circulars issues there after and circulars issues there under SEBI and relevant notifications of Government authorities as may be in force from time to time.

2.2. The Client shall notify the Participant/MFI in writing if there is any change in the information in the client registration form provided by the client to the Participant/MFI at the time registering as a client for participating in the new MFSS/STAR MF platform or any time there after.

2.3. The Client shall submit to the participation/MFI a completed application form in the manner prescribed format for the purpose of placing a order with the participant/MFI.

2.4. The Client has read and understood the risks involved in investing in Mutual Fund Schemes.

2.5. The Client shall be wholly responsible for all his investment decision and instruction.

2.6. The Client shall ensure continuous compliance with the requirement of NSEIL/BSE, SEI and AMFI.

2.7. The Client shall pay to the Participant /MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant/MFI renders to the Client.

2.8. The Client will furnish information to the Participant/MFI in writing, if any winding up petition or insolvency petition has been filed or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

2.9. In the event of non-performance of the obligation by the Participant/MFI, the client is not entitled to claim any compensation either from the investor Protection Fund or from any fund of NSEIL/MFIs or NSCCL/Indian Clearing Corporation LTD.(ICCI).

2.10. in case of any dispute between then Participants/MFIs and then investors arising out of the MFSS facility/BSE STAR MF platform, NSEIL/BSE and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of then disputes.

**Declaration: I am fully aware that** - I would need to keep clear that balances in my DP accounts for the transaction to be processed.

- I have understood then terms and conditions attached herewith and agreed to the same.

- I have understood Alice Blue Securities Private Ltd will place my order on a best effort basis. - MutualFund Investments are subject to mark risk, please read the statement of Additional Information (SAI)/Offer document(OD)/Scheme Information document(SID) carefully investing.

Alice Blue Financial Services Private Ltd Offers execution based services only.



**IMPORTANT PRE - REQUISITES FOR THE ACCEPTANCE OF THE REQUEST OF DERIVATIVE SEGMENTS,  
BASED ON THE SUPPORTING DOCUMENTS**

LIST OF ACCEPTABLE DOCUMENTS	CONDITION IF ANY
Copy of ITR Acknowledgement (for last financial year)	Should have a gross income of more than Rs. 1.2 lakh
Copy of form 16 in case of salary income (for last financial year)	Should have a gross income of more than Rs. 1.2 lakh
Net worth certificate (latest one or at the end of last financial year)	Should have a gross income of more than Rs. 1.2 lakh
Salary slip (for one month in current financial year)	Gross salary should be more than Rs. 10,000
Bank account statement for last 6 months*	There should be balance at least on a single day of more than equal to Rs. 10,000
Copy of Demat Account Holding Statement. (not more than 3 months old)*	The statement should display the value of securities lying in the Demat Account. The total value should be more than 10,000/-
Life Insurance Policy	(any insurance co. with minimum cover of two lakh)
KVP,NSC, IVP & Bonds	Should be valid as on date of submission and have a minimum value of Rs. 10,000/-
Bank FD's, Corporate FD's	Should be valid as on date of submission and have a minimum value of Rs. 10,000/-
Mutual Fund Statement	Statment should be more than 2 months old. The latest NAV and value should be more than Rs. 10,000/-
Ownership of Assets such as Gold	Value as mentioned on the bill should be Rs. 10,000/-
Letter from Society	The letter should state ownership pf the flat. It should be on the letter head of the society.
RC Book of the Vehicle	List of acceptable documents.

- Bank statement as downloaded from the net banking or xerox of physical statement be submitted.
- In case of Demat Account statement where only holdings are mentioned without valuation, the same should be manually mentioned on the date of submission should be self attested by the client or the employee of Depository Participant(DP).

**DISCLOSURE BY MEMBER TO CLIENT UNDER PMLA 2002**

Dear Client,

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden. It involves complex chain of activities where by huge amount of money generated from illegitimate activities viz. selling of narcotoc drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts. It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or apart of the chain, even if unknowingly or ignorantly, may invite the trouble. In order to fight against the money laundering and terrorist financing the prevention of Money Laundering Act (PMLA) was brought into force w.e.f July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti- money laundering standards. Compliance with these standards has become imperative for international financial relations. PMLA is applicable to every intermediary registered with SEBI, which includes a Commodity Brokers and any other intermediary associated with Commodities Market. As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile. In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

**DISCLOSURE BY CLIENT UNDER PMLA 2002**

Client Name:

Details of the Corporate/Partnership Firm/Trust/etc. where I/We am/are affiliated

S.No	Name	Entity Type	Nature of Business	Relationship	PAN

I/We hereby submit and agree to submit as the commitment every financial year following documents to Alice Blue Financial services Private Ltd

1. Audited Annual Accounts
2. Self attested copy of Income Tax Return or
3. Any other Financial information as requested by the Alice Blue Financial services Private Ltd

I/We further confirm that I/We invest in the Commodity Market with:

- My/our owned funds
- Borrowed Funds from Bank/NBFC or
- Borrowed Funds from others

I/We hereby declare that I/We am/are not doing any benami transactions in my/our account. I/We understand that in case of any Cash/ Suspicious/ Benami transactions beign observed into my account, the Member may report the same to Director FIU-IND, New Delhi under the provisions of PMLA, 2002 and thereafter I/we will be liable for any enquiry or penalty which might be levy by the Regulatory Authority under the said Act

**Signature of Client**

To,

Dear Client,

This is to inform you that we do only client based trading in Multi Commodity Exchange of India Ltd (MCX)

**Signature of Client**

I/We acknowledge the receipt of the information given by Alice Blue Financial services Private Ltd that they do client based trading only.

**Signature of Client**

## ADDITIONAL UNDERTAKING



To,  
Alice Blue Financial Services Private Limited,  
Bangalore

Client Code: \_\_\_\_\_

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

We hereby undertake that the Alice Blue Financial Services Private limited has not offered any Fixed/Assured Return schemes and we shall agree not to demand any such assured return from the Alice blue and the Member has explained in RISK disclosure the risk involved in trading in the securities Market.

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

Client Signature:

### General Advisory:

1. Investor Beware of Assured/Fixed Return Schemes/Login Credential sharing and Others.
2. This is a general advisory to all our clients. Alice Blue Financial Services Private limited is not engaged/Associated in any non-permitted activities such as providing Assured/Guaranteed return schemes.
3. You are requested to be cautioned and advised not to subscribe to any such scheme/ product offered by any persons /entity offering indicative/ assured / guaranteed returns or if any, such schemes are not permitted under the SEBI Bye -law rules and Regulations.
4. Participation in such prohibited schemes is at investors' own risk, cost and consequences as such schemes are neither approved nor endorsed by the Exchange.
5. Do not share your trading account login credentials with anyone. Investors shall abstain themselves from sharing their login credentials, OTP with any third party.
6. Alice Blue shall not be responsible if involved for any such kind of indulged activities.

## **Most Important Terms and Conditions (MITC)**



(For non-custodial settled trading accounts)

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