

# ACCOUNT OPENING FORM FOR TRADING & DEMAT ACCOUNT FOR INDIVIDUAL



## INNOVATE SECURITIES PVT. LTD.

1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006.

Phone No.: 079 - 2647 4500 • Website : [www.innovatesec.com](http://www.innovatesec.com)

Compliance E-mail : [innovate95@rediffmail.com](mailto:innovate95@rediffmail.com), [ispl@innovatesec.com](mailto:ispl@innovatesec.com)

**GSTIN : 24AAACI4767R2ZY**

**MEMBER : CDSL DP SEBI REG. NO. IN DP CDSL 239 - 2004**

**NSE - SEBI Reg. No.: INB/INF 0230700236**

**BSE - SEBI Reg. No.: INB/INF 010700236**

**SR. NO.:**

<b>Trading Client Code</b>	<input type="text"/>
<b>DP Client Come</b>	<input type="text" value="1"/> <input type="text" value="2"/> <input type="text" value="0"/> <input type="text" value="3"/> <input type="text" value="3"/> <input type="text" value="8"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text" value="0"/> <input type="text"/>
<b>Client Name</b>	<input type="text"/>
<b>Receipt on</b>	<input type="text"/> <b>By</b> <input type="text"/>
<b>Branch</b>	<input type="text"/>

## ACKNOWLEDGEMENT



### INNOVATE SECURITIES PVT. LTD.

1st Floor. "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura,  
Ahmedabad - 380 006. Ph.No.: 079 - 2647 4500. Website : [www.innovatesec.com](http://www.innovatesec.com)  
**Complain E-mail for Trading :** [innovate95@rediffmail.com](mailto:innovate95@rediffmail.com), [ispl@innovatesec.com](mailto:ispl@innovatesec.com)

Client Name : Mr. / Ms. ....

Client Code : .....

- 1) I/We do hereby confirm the receipt of Copy of the duly completed KYC documents executed by me/us as your client.
- 2) I/We do hereby confirm the receipt of the tariff sheet, trading code/unique client code allotted to me/us including the E-mail ID furnished by me/us for the purpose of receiving electronic contract notes, statement of accounts and such other documents and as such have noted the User ID and Password given to me/us for the operations of the same through your website.
- 3) In case of non-receipt of the above or User ID & password for tracking any transaction through your Website : [www.innovatesec.com](http://www.innovatesec.com) I/We will promptly notify your compliance officer on [innovate95@rediffmail.com](mailto:innovate95@rediffmail.com) or Phone : 079 26421314 / 15
- 4) Received and read the rights and obligation documents (DP & Trading)

 **Client's Signature**

 **Client's Signature**

 **Client's Signature**

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

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

**ACCOUNT OPENING KIT****Annexure - 1****INDEX**

Sr. No.	Name of the Document	Brief Significance of the Document	Page No.
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**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

1.	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	3 to 7
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list	8 to 11
2.	Rights and Obligations	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).	SEPARATE COPY FOR CLIENT ALSO AVAILABLE ON <a href="http://www.innovatesec.com">www.innovatesec.com</a>
3.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities Market.	
4.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
5.	Policies and Procedures	Document describing significant policies and procedures of the stock broker (added by the stock broker).	
6.	Rights & Obligations of Beneficial Owners & Depository Participants.		
7.	Tariff Sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s) (added by the stock broker).	2

**VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER**

8.	1. Schedule of Charges 2. Option Form for ISSUE of DIS Booklet.		12 to 13
9.	Voluntary Documents Document showing some basic information about Anti-money laundering measures	1. Letter of Authority for smooth functioning of Account. 2. Document to provide information to clients about <b>AML measures for General Guidance of Clients</b> 3. Running Account Authorization.	14 to 18
10.	Power of Attorney for the Purpose of Settlement / Margin Obligation.		19 to 20
11.	FATCA - CRS - DECLARATION		21 to 22

Name of stock broker/trading member/clearing member : **INNOVATE SECURITIES PVT. LTD.**

Details of SEBI Registration Numbers and Date :

Exchange	CM Segment	F&O / Equity Derivatives Segment
NSE	INB 230700236 [14 - 09 - 1995]	INF 230700236 [18 - 02 - 2001]
BSE	INB 010700236 [01 - 07 - 2010]	INF 010700236 [01 - 07 - 2010]
F&O Clearing Members Detail :	IL&FS Securities Services Ltd. IL&FS House, Raheja Vihar, Chandivali, Andheri East, Mumbai - 400 072.	
SEBI Registration No. & Date	INF 011133834 Date : 02 - 06 - 2000.	INF 231133630 Date : 02 - 06 - 2000.

Registered Office address & Correspondence Office Address :1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006. Phone No.: 079-26474500. Website : [www.innovatesec.com](http://www.innovatesec.com)

Compliance Officer Name, Phone No. &amp; Email ID &amp; CEO Name, Phone No. &amp; Email ID : MR. PIMAL K. PANCHAL,

Phone : 079 - 2647 4500, E-mail ID : [innovate95@rediffmail.com](mailto:innovate95@rediffmail.com)

For any grievance/dispute please contact stock broker (INNOVATE SECURITIES PVT. LTD.) at the above address or email id innovate95@rediffmail.com, ispl@innovatesec.com and no. 079 - 2647 4500. In case not satisfied with the response, please contact the concerned exchange(s) as per following details.

Exchange	E-mail ID	Phone No.
NSE	lgmse@nse.co.in	022 - 26598190
BSE	is@bseindia.com	022 - 22728097

### Tariff Sheet :

#### BSE / NSE

	1 <sup>st</sup> Leg		2 <sup>nd</sup> Leg (same day)	
	%Age	Min.	%Age	Min.
Brokerage				
Trading				
Delivery				
F & O				

Charges :

(1) Minimum Rs. 15/- per Contract

(2) OTHER :

#### Notes :

- (1) The above rates are exclusive of transaction charge, stamp Duty, Securities Transaction Tax, Service Tax, SEBI Fees, CM Charges & Other Applicable Charges which will be charged extra at the rate prevailing from time to time.
- (2) The General rates as mentioned here shall be applied unless the special rates as may be agreed by the Sub-Broker / Authorised Person / Introducer and client and the same are mentioned here.
- (3) Other Taxes and Statutory Levies as prescribed by Government and regulatory authorities would be applicable, Such taxes and statutory levies are charged as applicable from time to time.
- (4) Apart from above, delayed payment charges as per Policy & Procedures under mandatory documents forming part of KYC documents would also apply.
- (5) INNOVATE SECURITIES PVT. LTD. Reserves the right to revise the brokerage structure, by publishing / displaying the same on its website - www.innovatesec.com

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



Client's Signature

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



# INNOVATE SECURITIES PVT. LTD.

1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel,  
Navrangpura, Ahmedabad - 380 006.



**For Individuals**

Application No.

## General KYC Registry [Know Your Customer (KYC) Application Form]

DP SEBI Regn. No. : IN-DP-CDSL-239-2004

### 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-YYY 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.

### For Office Use only.

Application Type\*  New  Update

(To be filled by financial institution) KYC Number  (Mandatory for KYC update request)

Account Type\*  Normal  Simplified (for low Risk Customers)  Small

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

### A IDENTITY DETAILS

	Prefix	First Name	Middle Name	Last Name
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"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M-Male	<input type="checkbox"/> F-Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN-Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/> )		
Occupation Type*	<input type="checkbox"/> S-Service ( <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector )	<input type="checkbox"/> O-Others ( <input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student)		
	<input type="checkbox"/> B-Business			
	<input type="checkbox"/> X-Not Categorised			
Signature / Thumb Impression				

### 2. TICK IF APPLICABLE Residence for Tax Purposes in Jurisdiction(s) Out Side 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 of 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	<input type="text"/>	Passport Expiry Date	<input type="text"/>
B-Voter ID Card	<input type="text"/>		
C-PAN Card	<input type="text"/>		
D-Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
E-UID (Aadhar)	<input type="text"/>		
F-NREGA Job Card	<input type="text"/>		
Z-Others (any document notified by the central Government)	<input type="text"/>	Identification Number	<input type="text"/>
S-Simplified Measures Account - Document Type Code	<input type="text"/>	Identification Number	<input type="text"/>

### 4. PROOF OF ADDRESS (PoA)\* / ADDRESS DETAILS

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

(Certified copy of any one of the following Proof of Identity (PoA) needs to be submitted)

Address Type\*  Residential / Business  Residential  Business  Registered Office  Unspecified

Proof of Address\*  Passport  Driving Licence  UID (Aadhar)  Voter Identity Card

NREGA Job Card  Others

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\*

**4.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS\*** (Please refer instruction E at the end)

Same as Current / Permanent / Overseas Address Details (In Case of Multiple correspondence / local address, please fill 'Annexure A1')

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

**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

Line 1\*

Line 2

Line 3  City / Town / Village\*

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

**5 CONTACT DETAILS** (As communication will be sent on provided Mobile No. / Email ID) (Please refer Instruction F at the end)

Tel. (Off.)   Tel. (Res.)   Mobile

FAX   Email ID

**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\*)

Related Person Type\*  Guardian of Minor  Assignee  Authorized Representative

Name\*

*Prefix First Name Middle Name Last Name*

(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)

A-Passport Number  Passport Expiry Date

B-Voter ID Card

C-PAN Card

D-Driving Licence  Driving Licence Expiry Date

E-UID (Aadhar)

F-NREGA Job Card

Z-Others (any document notified by the central Government)  Identification Number

S-Simplified Measures Account - Document Type Code  Identification Number

**7 REMARKS** (If any)

**8 APPLICANT DECLARATION**

\* I hereby declare that the detail 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 :  Place :

  
Signature / Thumb Impression

**9 ATTESTATION AND IN PERSON VERIFICATION (IPV) DETAIL / FOR OFFICE USE ONLY**

Documents Received  Certified Copies (Self Attested)  (Original Verified) true Copies of Document's

IPV and C - KYC VERIFICATION CARRIED OUT BY

INSTITUTION DETAILS

DATE

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Sign. of Person who has done IPV / Attestation]

Name : **INNOVATE SECURITIES PVT. LTD.**

C - KYC Code : **IN0448**

CVL KRA POS CODE : **1100033800**

 **INNOVATE SECURITIES PVT. LTD.**  
1st Floor, "Devashish", 39, Sardar Patel Nagar,  
Near Nest Hotel, Navrangpura, Ahmedabad - 380 006.

**Annexure - 2.1**

**Additional KYC Form for Opening a Trading & Demat Account**

Depository Participant : **INNOVATE SECURITIES PVT. LTD.**

1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006.

**DP SEBI Regn. No. : IN-DP-CDSL-239-2004**

**DP ID : 12033800**

Date :

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**Application No.**

DP Internal Reference No.

DP ID :

1 2 0 3 3 8 0 0

Client ID :

0 0

(To be filed by the applicant in **BLOCK LETTERS** in English)

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	PAN																		
	UID																		
Second Holder's Name	PAN																		
	UID																		
Third Holder's Name	PAN																		
	UID																		

Name \*

\* In Case of Firms, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name of the Firm, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned above.

**Type of Account (Please tick whichever is applicable)**

Status	Sub - Status	
<input type="checkbox"/> Individual	<input type="checkbox"/> Individual Resident <input type="checkbox"/> Individual Director's Relative <input type="checkbox"/> Individual Promoter <input type="checkbox"/> Individual - Director	<input type="checkbox"/> Individual Margin Trading A/c (MANTRA) <input type="checkbox"/> Individual HUF / AOP <input type="checkbox"/> Minor <input type="checkbox"/> Others (Specify).....
<input type="checkbox"/> NRI	<input type="checkbox"/> NRI Repatriable <input type="checkbox"/> NRI Repatriable Promoter <input type="checkbox"/> NRI - Depository Receipts	<input type="checkbox"/> NRI Non - Repatriable <input type="checkbox"/> NRI Non - Repatriable Promoter <input type="checkbox"/> Others (Specify).....
<input type="checkbox"/> Foreign National	<input type="checkbox"/> Foreign National <input type="checkbox"/> Foreign National - Depository Receipts <input type="checkbox"/> Others (Specify).....	

**Details of Guardian (in Case the account holder is minor)**

Guardian's Name															
Relationship with the applicant															
I/we instruct the DP to receive each and every credit in my/our account (if not marked, the default option would be 'Yes')													[ Automatic Credit ] <input type="checkbox"/> Yes <input type="checkbox"/> No		
I/we would like to instruct the DP to accept all the pledge instructions in my/our account without any othwer further instruction from my/our end. (if not marked, the default option would be 'No')													<input type="checkbox"/> Yes <input type="checkbox"/> No		
Account Statement Requirement	<input type="checkbox"/> As per SEBI Regulation <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Fortnightly <input type="checkbox"/> Monthly														
I / we request you to send Electronic Transaction - Cum - Holding Statement at the E-mail ID														<input type="checkbox"/> Yes <input type="checkbox"/> No	
I/We would like to share the email ID with the RTA														<input type="checkbox"/> Yes <input type="checkbox"/> No	
I / we would like to receive the Annual Report <input type="checkbox"/> Physical / <input type="checkbox"/> Electronic / <input type="checkbox"/> Both Physical and Electronic (Tick the applicable Box, If not marked the default option would be in Physical)															

I / We wish to receive dividend / interest directly in to my bank account given as below through ECS. (If not marked, the default option would be 'Yes') [ECS is mandatory for locations notified by SEBI from time to time]	<input type="checkbox"/> Yes <input type="checkbox"/> No
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### Bank Details (Dividend Bank Details)

Bank Code (9 digit MICR code)									
IFS Code (11 Character)									
Account Number									
Account type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other (Specify) .....								
Bank Name									
Branch Name & Address									
City					Pin Code				
State					Country				

(1) Photocopy of the cancelled cheque having the name of the account holder where the cheque book is issued, (or) (2) Photocopy of the bank Statement having name and address of the BO (3) Photocopy of the Passbook having name and address of the BO, (or) (4) Letter from the Bank. – In Case of options (2,3 & 4 above, MICR code of the branch should be present / mentioned on the Document.

Other Details Gross Annual Income Details	<b>Income Range per annum :</b>		
	<input type="checkbox"/> up to Rs. 1,00,000	<input type="checkbox"/> Rs. 1,00,000 to Rs. 5,00,000	<input type="checkbox"/> Rs. 5,00,000 to Rs. 10,00,000
	<input type="checkbox"/> Rs. 10,00,000 to Rs. 25,00,000	<input type="checkbox"/> More than Rs. 25,00,000.	
	Net worth as on (Date) : <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> Rs..... [Net worth should not be older than 1 year]		

Occupation	<input type="checkbox"/> Private / Public Sector <input type="checkbox"/> Govt. Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculture <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Other (Specify) .....
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Please tick, if applicable :	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)
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Any other information :	
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<b>SMS Alert Facility</b> Refer to Terms & Conditions given as Annexure - 2.4	<b>Mobile No.:</b> +91..... [Mandatory, if you are giving Power of Attorney (POA)] (if POA is not granted & you do not wish to avail of this facility, cancel this option).
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Transactions Using Secured Texting Facility (TRUST). Refer to Terms and Conditions Annexure - 2.6	I wish to avail the TRUST facility using the Mobile number registered for SMS Alert Facility, I have read and understood the Terms and Conditions prescribed by CDSL for the same. <input type="checkbox"/> Yes <input type="checkbox"/> No I/We wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST		
	<b>Stock Exchange Name/ID</b>	<b>Clearing Member Name</b>	<b>Clearing Member ID (Optional)</b>

<b>Easi</b>	To register for easi, please visit our website <a href="http://www.cdslindia.com">www.cdslindia.com</a> Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online
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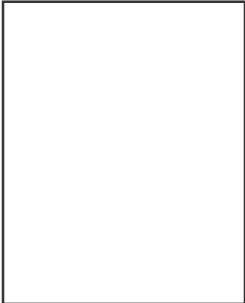
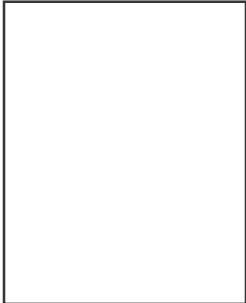
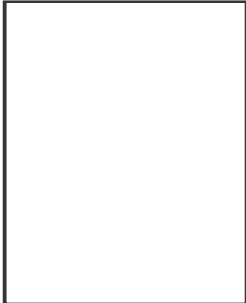
### Nomination Details for Trading and Demat Account

Nomination Registration No.	Date :
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I / we the sole holder / Joint holders / Guardian (in case of minor) hereby declare that :  
 I / we do not wish to nominate any one for this demat account  
 I/ we nominate the following person who is/are entitled to receive security balances lying in my/our account, particulars where of are given below, in the event of my/our death.

Nomination Details	Nominee - 1	Nominee - 2	Nominee - 3
Nominee Name :			
*First Name :			
Middle Name :			
*Last Name :			



*Address :			
<b>Name</b>			
			
<b>Nomination Details</b>	<b>Nominee - 1</b>	<b>Nominee - 2</b>	<b>Nominee - 3</b>
*City			
*State			
*Pin			
*Country			
Telephone No.			
Fax No.			
Pan No.			
UID			
E-mail ID			
*Relationship with the BO :			
Date of Birth (mandatory if Nominee is a Minor) dd-mm-yyy			
Name of the Guardian of Nominee (if nominee is a minor) :			
*First Name :			
Middle Name :			
*Last Name :			
Age :			
*Address of the Guardian of Nominee			
*City			
*State			
*Pin			
*Country			
Telephone No.			
Fax No.			
E-mail ID			

*Relationship of the Guardian with the Nominee			
*Percentage of allocation of Securities			
<b>Nomination Details</b>	<b>Nominee - 1</b>	<b>Nominee - 2</b>	<b>Nominee - 3</b>
*Residual Securities [Please tick any one nominee. If tick not marked default will be first nominee]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**Note :** Residual securities : in case of multiple nominees, please chose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to chose one such nominee, then the first nominee will be marked as nominee entitled for residual shares, if any.

**\* Marked is Mandatory field.**

This nomination shall supersede any prior nomination made by me / us and also any testamentary document executed by me / us.

<b>NOTE : One witnesses shall attest signature(s) / thumb impression(s)</b>	
Details of the Witness	First Witness
Name fo Witness	
Address of Witness	
Signature fo Witness	X

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

	First / Sole Holder or Guardian (in case of Minor)	Second Holder	Third Holder
Name			

Signature(s)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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**(Signature should be preferable in BLUE ink).**

**DEPOSITORY ACCOUNT(S) DETAILS**

No.	DP Name	Beneficiary Name	DP ID No.	BO ID	Depository Name
1.					NSDL / CDSL
2.					NSDL / CDSL

**TRADING PREFERENCES**

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

Ex. Segment	Cash	Derivatives	Currency Derivatives
NSE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	N.A.
BSE	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	N.A.

*# 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.*

**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 in charge of dealing in securities during the last 3 years :

**DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKER**

If Client is dealing through the sub-broker, provide the following details :

Name			
SEBI Reg. No.			
Regd. Off. Address			
Tel. No.		Fax No.:	
Website			

Whether dealing with any other stockbroker/sub-broker  
(If in case dealing either multiple stock brokers/sub-brokers, provide details of all)

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 :

### ADDITIONAL DETAILS

Whether you wish to receive physical contract note or Electronic Contract Note (ECN)

(Please Specify):  ECN  Physical.

Specify your E-mail ID, if applicable : .....

Whether you wish to avail of the facility of internet trading / wireless technology

(Please Specify):  Yes  No

Number of years of Investment / Trading Experience : .....

In Case of non - individuals, name, designation, PAN, UID, Signature, residential address and photographs of persons authorised to deal in securities on behalf of company / firm / Other : provide details on Annexure - A attached. Any other information : .....

### INTRODUCER DETAILS (Optional)

<b>Name</b>	
<b>Address</b>	
<b>Telephone</b>	
<b>Signature</b>	

Status of the Introducer : Sub Broker / Remisier / Authorised Person / Existing Client / Other,

Please Specify .....

### DECLARATION

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

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

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

 **Client's Signature**

**FOR OFFICE USE ONLY**

UCC Code allotted to the client :

	<b>Documents verified with Originals</b>	<b>Client Interviewed / Approved by</b>	<b>In person Verification done by</b>
<b>Name</b>			
<b>Signature</b>			
<b>Designation</b>			
<b>Emp. Code</b>			
<b>Date</b>			

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.

For, INNOVATE SECURITIES PVT. LTD.

Signature of the Authorised Signatory

Seal/stamp of the stock Broker

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

**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 Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets.	Self declaration with relevant supporting documents.

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. For individuals :
  - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
  - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in person' verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals:
  - a. Form need to be initialized by all the authorized signatories.
  - b. 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.

**INNOVATE SECURITIES PVT. LTD. (DP ID 12033800)**

Regd.: 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura,  
Ahmedabad - 380 006. Phone No.: 079 - 2647 4500. Web.: www.innovatesec.com  
E-mail : innovatesec@eth.net

**SCHEDULE OF CHARGES**

Particulars	Scheme - A Charges (For Regular Account)	Scheme - B BSDA - 1 Charges (Value of Holding up to Rs. 50,000/-)	Scheme - C BSDA - 2 Charges (Value of Holding Between Rs. 50,001/- to Rs. 2,00,000/-)
<b>A. Charges</b>			
Account Opening / Closing	NIL	NIL	NIL
Annual Maintenance (AMC)	Rs. 350/-	NIL	Rs. 100/-
Demat / Remat Request / Rejection	Rs. 5/- (Per certificate) + Rs. 75/- Postage	Rs. 5/- (Per certificate) + Rs. 75/- Postage	Rs. 5/- (Per certificate) + Rs. 75/- Postage
Conversion of Mutual Fund Units represented by SOA into Demat	Rs. 100/- per Request	Rs. 100/- per Request	Rs. 100/- per Request
Custody Charges	NIL	NIL	NIL
<b>B. Transfer of Securities</b>			
Buy (Credit)	NIL	NIL	NIL
Sales (Debit)	(Rs. 20/- per ISIN for In-House market transactions with POA) (Rs. 40/- per ISIN for In-House market transactions Without POA)	(Rs. 100/- per ISIN for In-House market transactions with POA) (Rs. 100/- per ISIN for In-House market transactions Without POA)	(Rs. 100/- per ISIN for In-House market transactions with POA) (Rs. 100/- per ISIN for In-House market transactions Without POA)
	(Rs. 45/- per ISIN for IDP Transactions	(Rs. 100/- per ISIN for IDP Transactions	(Rs. 100/- per ISIN for IDP Transactions
	(Rs. 25/- per ISIN for Off Market Transaction	(Rs. 50/- per ISIN for Off Market Transaction	(Rs. 50/- per ISIN for Off Market Transaction
<b>C. Pledge</b>			
Pledging Services (Creation, Closure & Invocation)	Rs. 70/- per Request or 0.02% of the value of securities whichever is higher	Rs. 70/- per Request or 0.02% of the value of securities whichever is higher	Rs. 70/- per Request or 0.02% of the value of securities whichever is higher

**Terms & Conditions :**

- Annual maintenance charges have to be paid prorates for remaining quarters in advance up to the end of financial year. For corporate clients, the AMC shall be Rs. 1500/- per Financial year. In respect of Individual clients, Account maintenance charges for the 1st quarter from the date of account opening will be Rs. 350/- and no charge for rest of quarters for 1st year. From 2nd year AMC will be mentioned above.
- All Charges mentioned above are inclusive of CDSL charges.
- All Charges mentioned above are inclusive of Service tax.
- The above charges are subject to changes with 30 days prior notice. However, in case of revision of charge by CDSL, a shorter notice may be given.
- Charges once paid will not be refunded.
- All instructions for transfer must be received at least one day before the Execution / Pay in date.
- Same day execution / late instructions will be accepted on "A best effort basis " at the sole risk and responsibility of the depository account holder(s).
- The depository services may be temporarily discontinued if the cheque given for availing DP services is returned unpaid. Intimation of discontinuation of the DP services shall be in accordance with the rules specified by CDSL. The DP services shall be resumed after recovery of the returned cheque plus Rs. 100/- as additional charge.
- All pledging Services (creation, closure and invocation) shall be in separately charged at the time of each transaction.
- Value of securities will be in accordance with the rates provided by CDSL.
- Non periodical Statements will be charged at Rs. 50/- per Statement.
- BSDA - 1 and BSDA - 2 scheme Clients will get Holding Statements annually and Transaction Statement Quarterly (If there is no transaction during the quarter. NIL transaction statement will not be provided.) Non periodical Statements will be charged to BSDA - 1 and BSDA-2 scheme Clients at Rs. 25/- per Statement.
- In Case of Late Instructions, Rs. 50/- per entry will be charged additionally.
- An amount of Rs. 100/- Shall be Charged, if DIS request is received on plain paper and DIS booklet is reported lost.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.

**DECLARATION :** I/We hereby select Scheme A  B  C  to open/change in my Demat Account. I/We further declare and abide my/our self from the above charges schedule and respective terms and conditions relating to the account.

BO ID : 1 2 0 3 3 8 0 0 0 0

Sole / First Holder

Second Holder

Third Holder

# OPTION FORM FOR ISSUE OF DIS BOOKLET

**Annexure - 2.5**

Date : 

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

DP ID :	1	2	0	3	3	8	0	0								Client ID :	0	0							
---------	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	-------------	---	---	--	--	--	--	--	--	--

First Holder Name :	
Second Holder Name :	
Third Holder Name :	

To,  
**INNOVATE SECURITIES PVT. LTD.**  
 1<sup>st</sup> Floor, Devashish, 39, Sardar Patel Nagar,  
 Nr. Nest Hotel, Navrangpura, Ahmedabad - 380 006.

Dear Sir / Madam,  
 I / We here by state that :

**[Select one of the option 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) / executed PMS agreement in favour of / with .....  
 ..... (name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager.

Yours Faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			

Signature(s)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
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**OR**

**OPTION 2 :**

I / We do not require the Delivery Instruction Slip (DIS) for the time being, since I / We have issued a POA / executed PMS agreement in favour of / with **INNOVATE SECURITIES PVT. LTD.** (Name of the attorney / Clearing Member / PMS manager) for executing delivery instructions for setting stock exchange trades [settlement related transactions] effected through such Clearing Member / by PMS manager. 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			

Signature(s)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
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\* NRI CLIENT     YES     NO

For NRI Clients : Whenever there is a change in the Residential Address I will Inform the DP.

Declaration :- I here by declare that, I have complied with, and will continue to comply with FEMA/FATCA regulations and other applicable laws.

Signature(s)	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
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## LETTER OF AUTHORITY

**VOLUNTARY**

To,  
**Innovate Securities Pvt. Ltd.**  
1st, Floor, "Devashish", 39, Sardar Patel Nagar,  
Navrangpura, Ahmedabad - 06.

Dear Sir,

### **SUB. : Letter of Authority - Cash / Currency F& O Segment of BSE / NSE**

I/We are dealing in securities with you at BSE/NSE in Cash, F& O & Currency Derivatives Segment and in order to facilitate ease of operations, I/we authorise you as under

1. I/we authorise you to setoff outstanding in any of our accounts against credits available or arising in any other accounts maintained with you irrespective of the fact that such credits in the accounts may pertain to transaction in any segment of the Exchange or in any other exchanges and / or against the value of cash margin or collateral shares provided to you by us.
2. I/we hereby authorise you not to provide me order Confirmation / Modification / Cancellation Slips and Trade Confirmation Slips to avoid unnecessary paperwork. I/we shall get the required details from contract notes issued by you.
3. I/we request you to consider my/our telephonic instructions for order placing/order modification / order cancellation as a written Instruction and give me/us all the confirmation on telephone unless instructed otherwise in writing. I/we am/are getting required details form contracts issued by you.
4. I/we hereby authorise you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin / other obligation in stock exchange in whatever manner for meeting / pay-in obligation on our behalf or for giving the same as margin to the Stock Exchange or Otherwise.
5. I / We have no objection if due to punching errors you might have to change the client codes for trade done as the circumstances may warrant, as per the rules and regulations of the Exchange.
6. I/we request you to retain credit balance in any of my/our account and to use the idle funds towards our margin / future obligations at any or both the Exchanges unless. I/we instruct you otherwise. I/we alsoauthorize you to debit the necessary demat charged from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf.
7. I/we request you to retain securities in your Demat account for my/our margin/future obligations at all Exchanges unless I/we instruct you to transfer the same to my /or account.
8. Trading of all Exchanges is in Electronic Mode, based on VSAT, leased Line, ISDN, Modem and VPN, combination of technologies and computer systems to place and route orders. We understand that there exists a possibility of communication failure or system problems or slow or delayed response from system or trading halt, of nay such other problem/glitch whereby not being able to establish access to the trading system/network, which may be beyond your control and may be beyond your control and may result in delay in processing or note processing buy or sell Orders either in part or in full. I/we agree that I/we agree that I/we shall be fully liable and responsible for any such problems / fault.
9. I/we confirm that I/we will never sublet the trading terminal on any term of connectivity, from my/our place to any other place without your prior approval.
10. I/we am/are agreeable for inter-settlement transfer of securities towards settlements.
11. I/we am/are agreeable for & authorise you to with hold funds pay-out towards all the applicable margins and debits.
12. All fines/penalties and changes lived upon you due to my acts/ deeds or transactions may be recovered by you form my account.
13. I /We understand and agree that you can debit my/our accounts either for any additional services provided by you as per my / our oral requests depending upon opening of my /our relevant account(s) or as may be required in compliance with applicable provisions of law.
14. I am / We are aware, agree and confirm that for non-payment of any margin money / pay-in obligations, you - the stock broker may sell all / any of the securities held by broker towards margin / collaterals /credit balance lying in my / Our client's account or may square-up all/any open position to fulfill these requirements as the circumstances may warrant.



15. I/we have a trading as well as depository relationship with you bearing demat Account no 12033800 .....Please debit the charges relevant with depository services from my/our trading account on monthly basis. I/we also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.
16. Restrictions on Regulation of Dealings: The Stock Broker shall at its discretion decide, from time to time, the volume of business which the Client (introduced directly or by the sub-broker or authorised person) may transact during any trading day on NSE/BSE exchange wise or segment wise or in combine Notwithstanding such as an understanding / arrangement, the Stock Broker shall have absolute discretion to reduce the volume of business of the Client or restrict dealings by the Client as per RMS policy from time to time inter-alia, having regard :
- (i) to the volatility in the market ;
  - (ii) in view of impending price sensitive announcements ;
  - (iii) any restrictions in relation to volume of trading / outstanding business / margins stipulated by the Exchange / Stock Broker, political instability in the Country etc ;
  - (iv) presence of any other price sensitive factors ;
  - (v) failure by the Client to provide / maintain the applicable collateral/margin; and/or
  - (vi) delays by the Client in meeting his/her/its obligation / dues relating to the business / dealings done under this present.

 Client's Signature

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

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

**NOTE :-**

***As per the SEBI Circular Ref. No. MRD / DOP / SE / Cir - 22/06 dated 18/12/2006 regarding the exclusive E-mail ID for redressal of investor complaints, Please note that the same is innovatesec@eth.net***

Proprietary-trading Disclosure : This has reference to circular no. SEEI/MRD/SE/CIR.-42/2003 dated November 19, 2003 as mandated by the SEBI and / or the Exchanges(s), the stock broker hereby makes disclosure to the client that the stock broker may, from time-to-time, make investments in securities with a view to deploy its own surplus funds on its own proprietary account without any specific intimation to the client in this regard.

**COMPLIANCE WITH THE PREVENTION OF MONEY-LAUNDERING \* ACT (PMLA), 2002, AS AMENDED TILL DATE AND THE RULES, REGULATION AND GUIDELINES FRAMED THEREUNDER :**

- A) The client confirms that all the information which may be required by the stock broker to enable it to comply with the provisions of the PMLA and the rules, regulations and guidelines framed thereunder has been dis-closed including issues related to "beneficial ownership", if any and also undertakes to provide the same on a on going basis whenever required.
- B) The client agrees to keep the stock broker informed of any change in the information provided earlier in this regard immediately in writing.

 Client's Signature

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

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

## VOLUNTARY

### **BASIC INFORMATION ABOUT AML MEASURES FOR GENERAL GUIDANCE OF CLIENTS :**

#### **Background :**

In response to mounting concern over money laundering world wide, G-7 summit as held in Paris in the year 1989, a policy making body having Secretariat Organisation for Economic Co-operation and Development (OECD) was established, to work for generating necessary political will / willingness to bring about national legislative and regulatory reforms to combat money laundering and terrorist financing. World Bank and International Monetary Fund (IMF) have also established a collaborative framework in with Financial Action Task Force (FATF) in this regard. Our country (India) is also one of the member and has been accorded "Observer" status.

#### **Objectives :**

The brief objectives of these provisions is to establish general framework for the fight against money Laundering, terrorism, financial crimes and corruption.

- Ensuring that financial institutions are not vulnerable to infiltration or abuse by organized crime groups
- Building capacity to fight terrorism and trace terrorist money
- Meeting binding international obligations and avoiding the risk of sanctions or other actions by the international community
- Avoid becoming heaven for criminals
- Securing a more transparent and stable financial system that is attractive to foreign investors

#### **What is Money Laundering ?**

- To concealing or hiding financial assets with a view to used it without detection of its source that is illegal activity which produced it.
- Through money laundering, the launder transforms the monetary proceeds derived from criminal activity into funds with an apparent legal source.
- It is the process by which criminals try to hide and disguise the true source / origin and ownership of proceeds of their illegal/criminal activities.
- It may be conversion of illegally earned income in to another form so that it appears as a legitimate income.
- The term "Money Laundering" is also used in relation to financing of terrorist activity (where funds may / may not originate from crime).
- It is a medium through which dirty money insert in the financial system and make such money look clean.
- Money is circulated around the financial system in such a way that its ancestry gets hidden.

#### **Activities that can be considered as Illegal / Criminal Activity :**

- |              |               |                              |
|--------------|---------------|------------------------------|
| ■ Corruption | ■ Bribery     | ■ Counterfeiting and Forgery |
| ■ Smuggling  | ■ Extortion,  | ■ Prostitution               |
| ■ Gambling   | ■ Robbery     | ■ Fraud                      |
| ■ Kidnaping  | ■ Tax Evasion | ■ Drug Trafficking           |

#### **Various stages of Money laundering :**

- i. Placement :** It is a initial stage in which money from criminal activities is placed in financial institution. It may be through various methods viz. arranging or breaking up currency transactions in to portion which falls below reporting threshold for specific purpose to avoid reporting requirements.
- ii. Layering :** It is a process of conducting a complex series of financial transactions with a purpose of hiding origin of money and hindering any attempt to trace the funds. It may include multiple trades for security, Purchase of financial product such as Life Insurance or purchase of legitimate businesses.
- iii. Integration:** Last and final stage in the re-injection of the laundered proceeds back in to the economy in such a way that they re-enter the financial system as normal business funds.

#### **Consequences of Money Laundering :**

- |   |  |
|---|--|
| ■ Finances terrorism                            | ■ Encourage crime                                |
| ■ Endangers society at large                    | ■ Weakening of macro economic factors of country |
| ■ Affects the integrity of the financial system | ■ Government control on economy reduces          |
| ■ Weakening of Law & Order                      |  |

#### **Indian Framework :**

India has also framed, "The Prevention of Money Laundering Act, 2002" (PMLA) which came into effect w.e.f.01.07.2005. A separate Foreign Intelligence Unit (FIU) is also established as a central monitoring agency / central repository to combat Money Laundering. Necessary notifications / rules / guidelines / circulars / recommendations etc. are also issued and being issued by various regulatory authorities including SEBI from time to time.

**Applicability of PMLA :**

The provisions of the Act are applicable to Banking Company, Financial Institution and Intermediary (which includes, stock broker, sub-broker, share transfer agents, portfolio manager and other intermediaries associated with Securities Market and registered under section 12 of SEBI Act, 1992.)

All the aforesaid entities have to maintain a record of all the transactions, its nature and value involved. Such transactions shall include :

- (a) All cash transactions > Rs. 10.00 lacs or its equivalent in foreign currency
- (b) All integrally connected series of cash transactions < Rs. 10.00 lacs or its equivalent in foreign currency within one calendar month
- (c) All suspicious transactions

**Suspicious Transactions :** Means a transaction, whether or not, made in cash which, to a person acting in good faith,

- (a) Gives a rise to a reasonable ground of suspicion that it may involve the proceeds of crime
- (b) Identity verification or address seems difficult or found to be forged / false
- (c) Gives rise to a reasonable ground of suspicion that it may involve financing of the activities relating to terrorism.
- (d) Unusual and unexplained large value of transaction
- (e) Unusual and unexplained activity in dormant accounts\
- (f) Transfer of large sums of money to / from overseas locations.
- (g) Appears to be made in circumstances of unusual or unjustified complexity
- (h) Appears to have no economic rationale or bonafide purpose.
- (i) Asset Management services where the source of the funds is not clear or not in keeping with apparent standing / business activity

**Obligation of the Customer / Clients :**

Always provide complete and correct details during account opening process like :

- Address Proof
- Identity Proof
- PAN
- Income Details

Periodically update your :

- Contact details
- Financial details
- Occupational details

The transactions executed should be commensurate with the disclosed income details.

Provide requested explanations/details for suspicious transactions.

**Ramifications / Consequences / Implications :**

- (a) Money Launderer faces steep fines of double the amount of financial transaction, along with forfeiture of assets associated with laundered funds.
- (b) Whoever commits the offence of money laundering shall be punishable with rigorous imprisonment for a minimum term of 3 years extendable to 7 or 10 years and shall also be liable to fine which may extend to 5.00 lacs rupees.
- (c) Any kind of association with a criminal element can severely damage the reputation. It is in the best interests to keep names free of any criminal association.
- (d) Protect reputation by being informed about anti-money laundering rules and regulations.
- (e) If anybody sees activity that may indicate money laundering, report it to the Director, FIU India, 6<sup>th</sup> Floor, Hotel Samrat, Chanakyapuri, New Delhi -110021.

**Disclaimer : The Company (ISPL) does not take any warranty (express or implied) or assumes any legal liability / responsibility for the accuracy, completeness or usefulness of any information mentioned herein above which is prepared based on available information and for the sole purpose of general guidance and create awareness amongst the clients.**

I / We have read and understood the aforesaid AML literature and in token of acceptance of the same, do hereunto put our signature.

 **Client's Signature**

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

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

## MANDATE FOR MAINTAINING THE ACCOUNT ON RUNNING ACCOUNT BASIS

To,  
INNOVATE SECURITIES PVT. LTD.  
1st Floor, "Devashish",  
39, Sardar Patel Nagar, Nr. Nest Hotel,  
Navrangpura, Ahmedabad - 380 006.

Dear Sir,

Notwithstanding anything contrary contained in any of the document or correspondence, I hereby severally give mandate to you for maintenance account with you on running account basis. This mandate shall be applicable to all segments across exchanges maintained with you including Mutual Fund availed through NSE MFSS and / or BSE STAR MF or such other platform and without limitation to securities/funds/currencies/units of mutual funds.

This mandate is voluntarily given by me/us as it is cumbersome for me to settle the accounts with you frequently. This will facilitate me in my transaction through you. I also request you to consider the balances in my funds, securities mutual fund units and currency account with you for the purpose margins/any other obligations due to you.

In view of the above it would be proper for you to release the funds, mutual funds, mutual fund units and securities due to me on my specific request, either written/oral. You may debit the charges of holding units/securities to my account with you.

Further, I, authorise INNOVATE SECURITIES PVT. LTD. to retain such amount of funds payable to me, not exceeding Rs.10,000/- (Rupees ten thousand only) debit any monthly/quarterly settlement of my account. I, Further agree that my account shall be deemed to have been settled as per SEBI/Exchange guidelines for respective quarter notwithstanding the said retention by INNOVATE SECURITIES PVT. LTD.

I hereby agree to settle my funds/securities/mutual funds account \*Monthly/Quarterly basis as per SEBI guidelines. Further, I hereby declare retain the right to revoke this authorization at any time.

Yours Faithfully

 Client's Signature

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

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

\* Kindly tick relevant option. If not stuck off, the option will be considered as "Quarterly".

## POWER OF ATTORNEY

To all to whom these presents shall come I/We, (1st holder) .....,  
 (2nd holder) ....., (3rd holder) .....

Individual, Indian Inhabitant SEND GREETINGS.

Whereas I/we hold a Beneficiary account No. 

1	2	0	3	3	8	0	0	0	0										
---	---	---	---	---	---	---	---	---	---	--	--	--	--	--	--	--	--	--	--

(BO-ID) with Central Depository Services (India)Limited, through Innovate Securities Pvt. Ltd. (ISPL) having DP-ID 12033800.

And Whereas I am an investor engaged in buying and selling of securities through ISPL, a member of national Stock Exchange of India Ltd., bearing SEBI registration No. INB/INF230700236 and, A member of The Bombay Stock Exchange Limited, bearing SEBI registration No. INB010700236.

And whereas due to exigency and paucity of time, I/We am/are desirous of appointing an agent / attorney to operate the aforesaid beneficiary account on my/our behalf for a limited purpose in the manner hereinafter appearing.

NOW KNOW WE ALL AND THESE PRESENTS WITNESSTH THAT THE ABOVE NAMED DO HEREBY NOMINATE, CONSTITUTE / AND APPOINT ISPL as my/our true and lawful attorney (hereinafter referred to as the attorney) for me/us and on my/our behalf and in my/our behalf and in my/our name to do instruct the aforesaid Depository Participant as under.

- (A) to transfer securities held in my/our aforementioned beneficial owner account(s) or any other account informed by me in writing to the stock broker from time to time to the demat account nos. as mentioned hereunder of the stock broker/exchange maintained for the purpose of settlement of trades and margin obligations arising out of trades executed by me/us on any recognized stock exchange through the stock broker.
- (B) to transfer the securities to the Clearing Member ID allotted to the stock broker by any existing our future exchange that the stock broker has joined / will join as a member or to any demat accounts linked to the said Clearing Member ID for the settlement and margin purpose provided that I/we have entered in to client registration with the stock broker for such exchanges.

### Details fo Present demat accounts :

Description of Demat Account	Demat Account No.
BSE : CM Principal A/c - CDSL	1203380000120504
CM Early Pay-In A/c - CDSL	1100001000020803
CM Pool A/c - NSDL	IN661085 - 10634812
NSE : CM Pool A/c - CDSL	1203380000000664
CM Early Pay-In A/c - CDSL	1100001100015713
CM Pool A/c - NSDL	IN564414 - 10465588
BSE House Account - Mutual Fund Redemption	11000029 00000011
NSE House Account - Mutual Fund Redemption	1100001100017837
BSE Client - Margin Account	1203380000120882
NSE Client - Margin Account	1203380000000018
NSE FO Margin Account - 1203380000142294	IN301485 - 10056144

- (I) to pledge the securities in favour of the stock broker for the limited purpose of meeting my/our margin requirements in connection with the trades executed by me/us on any recognized stock exchange through the stock broker.
- (II) to return to me/us, the securities or funds that may have been received by the stock broker erroneously or those securities or funds that the stock broker was not entitled to receive from me/us.
- (III) to send consolidated summary of my/our scrip-wise buy and sell positions taken with average rates to me/us by way of SMS/ email on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
- (IV) To apply for various products like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares, tendering shares in open offers etc pursuant to oral/written/electronic instructions given by me/us to the stock broker.

I/We ratify the instructions given by the aforesaid stock broker to the depository participant named hereinabove in the manner specified herein.

I/We further agree and confirm that the powers and authorities conferred by this Power of Attorney shall continue until it is revoked (without notice). in writing by me and that the said revocation shall be effective from the date on which the revocation notice is received by the stock broker in his office at Ahmedabad.

IN WITNESS WHEREOF I, the above named Mr. / Mrs. ....  
 .....have hereunto.

Sole / First Holder       Second Holder       Third Holder

Set my hands this..... day of .....20 .....

Signed, sealed and delivered by the within named

Client Name	Signature
1. ....	<input checked="" type="checkbox"/>
2. ....	<input checked="" type="checkbox"/>
3. ....	<input checked="" type="checkbox"/>

In presence of (Witness Name)	Witness Signature
.....	X .....

Add. ....

In case of HUF Name of CO-Parceners	Signature(s)
1. ....	.....
2. ....	.....
3. ....	.....
4. ....	.....

I Accept  
**Innovate Securities Pvt. Ltd.**  
 1st Floor, "Devashish "  
 39, Sardar Patel Nagar,  
 Ellisbridge, Ahmedabad - 380 006.

For, Innovate Securities Pvt. Ltd.  
**AMAR M. PARIKH**  
 (Director)

For, Innovate Securities Pvt. Ltd.  
**ATUL N. SHAH**  
 (Authorised Signatory)



# INNOVATE SECURITIES PVT. LTD. (DP ID 12033800)

Regd.: 1st Floor, "Devashish", 39, Sardar Patel Nagar, Nr. Nest Hotel, Navrangpura,  
Ahmedabad - 380 006. Phone No.: 079 - 26474500, 26401004, 26421314 / 15. Fax : 079 - 26423759.  
Web.: www.innovatesec.com E-mail : innovatesec@eth.net

## FATCA - CRS Declaration & Supplementary KYC Information Declaration Form for Individuals

PAN No.:											
Name :											
Address Type [for KYC address]	<input type="checkbox"/> Residential					<input type="checkbox"/> Residential / Business					
	<input type="checkbox"/> Business					<input type="checkbox"/> Registered Office					
Place of Birth						Country of Birth					
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh		<input type="checkbox"/> 1-5 Lacs			Occupation Details [Please tick any one ( ✓ )]	<input type="checkbox"/> Business		<input type="checkbox"/> Professional		
	<input type="checkbox"/> 5-10 Lacs		<input type="checkbox"/> 10-25 Lacs				<input type="checkbox"/> Public Sector		<input type="checkbox"/> Private Sector		
Net Worth in +INR in Lacs	<input type="checkbox"/> 25 Lacs - 1 Cr		<input type="checkbox"/> > 1 Cr			<input type="checkbox"/> Government Service		<input type="checkbox"/> Agriculturist		<input type="checkbox"/> Housewife	
	.....					<input type="checkbox"/> Student		<input type="checkbox"/> Retired			
Net Worth Date						<input type="checkbox"/> Forex Dealer		<input type="checkbox"/> Other [Please Specify] .....			
Politically Exposed Person [PEP]	<input type="checkbox"/> Yes		<input type="checkbox"/> Related to PEP			Any Other Information					
	<input type="checkbox"/> Not Applicabel										

Is your Country of Tax Residency other than India -  Yes  No

If 'Yes', please specify the details of all countries where you hold tax residency and its Tax Identification Number & type.

Sr. No.	Country of Tax Residency #	Tax Payer Identification Number / Functional Equivalent	Identification Type
1.			
2.			
3.			

# to include all countries other than India, where investor is Citizen / Resident / Green Card Holder / Tax Resident in those respective Countries especially of USA

### DECLARATION :

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In Case any of the above specified information is found to be false or untrue of misleading or misrepresenting. I/am aware that I may liable for it. I hereby authorized you [CAMS / Fund / AMC] to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me to / any of the Mutual Fund, its Sponsor, Asset Management Company, trustees, their employees / RTAs ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial intelligence Unit - India (FIU-IND), tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same Further, I authorize to share the given information to other SEBI Registered Intermediaries/or any regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide authorities. I/we authorize Fund / AMC / RTA to provide relevant information to upstream payers to enable withholding to occur and pay out any sums from my account or close or suspend my account(s) without any obligation of advising me of the same. I understand that you do not offer any tax advise on CRS/FATCA or its impact on me/us. I/we shall seek advise from professional tax adviser for any tax questions.

X  
Signature

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

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



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Web.: www.innovatesec.com E-mail : innovatesec@eth.net

## SELF CERTIFICATION

Are you US Person :	<input type="checkbox"/> Yes <input type="checkbox"/> No
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To be Filled only if :

- a] Your country of Birth / Country of tax residency is other than India.
- b] US Person is mentioned herein as Yes and TIN is not available.

I confirm that I am neither a US person not a resident for Tax purpose in any Country other than India, through one or more parameters suggest my relation with the country outside India. Therefore, I am providing the following documents as proof of my citizenship and residency in India.

Documents submit : (please tick document being submitted - self certified copy)

Passport       Election Card       PAN Card       Driving Licence       UIDAI / Adhar Card / Letter

Government issued ID and       Other (please specify) .....

Document Identification No.: .....

I/We agree that as may be required by domestic regulatory(ies), you may also be required to report, reportable details to CBDT or any other authorities in India or close or suspend my / our account.

I/we agree to submit a new form within 30 days if any information / Certification on this form becomes incorrect.



Client's Signature

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

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





# INNOVATE SECURITIES PVT. LTD.

## ACKNOWLEDGMENT / CONFIRMATION OF RECEIPT OF EXECUTED DOCUMENTS

Account No.	1	2	0	3	3	8	0	0	0					
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Dear Sir,

I/We hereby acknowledge the receipt of duly executed copy of Application Form, Agreement, KYC, and all other documents as executed by me/us. I/we have received and read the copy of rights and obligation document.

 Sole / First Holder
---

 Second Holder
---

 Third Holder
--



# INNOVATE SECURITIES PVT. LTD.

Account No.	1	2	0	3	3	8	0	0	0					
-------------	---	---	---	---	---	---	---	---	---	--	--	--	--	--

(to be filled by the Depository Participant)

	Name of First / Sole Holder	Name of Second Holder	Name of Third Holder
Name			
Specimen Signature	x	x	x

