

SUCCESS



# Client Registration Form

• INDIVIDUAL • NON-INDIVIDUAL

**NYCE**  
NICE YIELDING COMPETENT EFFICIENT

*NYCE Securities & Derivatives Ltd.*

Member: National Stock Exchange of India Ltd. (NSE), Multi Commodity Exchange of India Ltd. (MCX)

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

Trading Code : \_\_\_\_\_



## *NYCE Securities & Derivatives Ltd.*

*Member: National Stock Exchange of India Ltd. (NSE)*

*Multi Commodity Exchange of India Ltd. (MCX)*

*SEBI Registration No.: INZ000208937*

**Registered Office:** 28, Ground Floor, JMD Megapolis,  
Sector-48, Gurugram-122018 (Haryana)

**Phone:** +91-124-4994400 **Fax:** +91-124-4994400

**E-mail:** [support@nyceindia.com](mailto:support@nyceindia.com)

**WebSite:** [www.nyceindia.com](http://www.nyceindia.com)

### **CEO**

**Mr. Ramesh Kumar Goyal**  
[ceo@nyceindia.com](mailto:ceo@nyceindia.com)  
Ph.: +91-9958008162

### **Compliance Officer**

**Mr. Harsh Vardhan Goyal**  
[hvgoyal@nyceindia.com](mailto:hvgoyal@nyceindia.com)  
Ph.: +91-9958008163

For any grievance/dispute please contact **NYCE Securities & Derivatives Ltd.** at the above address or email id-[support@nyceindia.com](mailto:support@nyceindia.com) and Phone No. +91-124-4994400. In case not satisfied with the response, please contact the concerned exchange (NSE) [ignse@nse.co.in](mailto:ignse@nse.co.in) and Phone No. +91-22-26598100, 18002660058 (MCX) [grievances@mcxindia.com](mailto:grievances@mcxindia.com) and Phone: 022-66494070, 66494151. (SEBI) <https://scores.sebi.gov.in>

To,

**NYCE Securities & Derivatives Ltd.**

Regd. Office: 28, Ground Floor, JMD  
Megapolis, Sector-48,Gurugram-122018  
(Haryana)

Dated \_\_\_\_\_

Dear Sir/ Madam,

I hereby opt to get the document listed below in -

Electronic Form       Physical Form

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
2. Risk Disclosure Document for Capital Market and Derivatives Segments.
3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

Yours faithfully,



\_\_\_\_\_  
(Signature of Client)

---

**ACKNOWLEDGEMENT LETTER**

To,

**NYCE Securities & Derivatives Ltd.**

Regd. Office: 28, Ground Floor, JMD  
Megapolis, Sector-48,Gurugram-122018  
(Haryana)

Dated \_\_\_\_\_

Dear Sir/ Madam,

I/We hereby acknowledge receipt of the following documents

1. Rights and Obligations of Stock Brokers, Sub-brokers and Clients (including additional rights & obligations in case of internet / wireless technology based trading).
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3. Guidance Note - Do's and Don'ts for Trading on the Exchange(s) for Investors.
4. I/We hereby acknowledge the receipt of duly executed copy of KYC and all other documents as executed by me/us. Further I confirmed that the documents for KYC submitted by me are true and correct.

Yours faithfully,



\_\_\_\_\_  
(Signature of Client)

## **A. IMPORTANT POINTS:**

1. Self attested copy of PAN card is mandatory for all clients, including Promoters/Partners/Karta/Trustees and whole time directors and persons authorized to deal in securities on behalf of company/firm/others.
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.

## **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/Gazetted 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, Power of Attorney 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, Gazetted 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.

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

Types of entity	Documentary Requirements
<b>Corporate</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year).</li> <li>• Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations.</li> <li>• Photograph, POI, POA, PAN of individual promoters holding control-either directly or indirectly.</li> <li>• Copies of the Memorandum and Articles of Association and certificate of incorporation.</li> <li>• Copy of the Board Resolution for investment in securities market.</li> <li>• Authorised signatories list with specimen signatures.</li> </ul>
<b>Partnership Firm</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered partnership firms only).</li> <li>• Copy of partnership deed.</li> <li>• Authorised signatories list with specimen signatures.</li> <li>• Photograph, POI, POA, PAN of Partners.</li> </ul>
<b>Trust</b>	<ul style="list-style-type: none"> <li>• Copy of the balance sheets for the last 2 financial years (to be submitted every year).</li> <li>• Certificate of registration (for registered trust only).</li> <li>• Copy of Trust deed. List of trustees certified by managing trustees/CA.</li> <li>• Photograph, POI, POA, PAN of Trustees.</li> </ul>
<b>HUF</b>	<ul style="list-style-type: none"> <li>• PAN of HUF.</li> <li>• Deed of declaration of HUF/ List of coparceners.</li> <li>• Bank pass-book/bank statement in the name of HUF.</li> <li>• Photograph, POI, POA, PAN of Karta.</li> </ul>
<b>Unincorporated association or a body of individuals</b>	<ul style="list-style-type: none"> <li>• Proof of Existence/Constitution document.</li> <li>• Resolution of the managing body &amp; Power of Attorney granted to transact business on its behalf.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Banks/Institutional Investors</b>	<ul style="list-style-type: none"> <li>• Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Foreign Institutional Investors (FII)</b>	<ul style="list-style-type: none"> <li>• Copy of SEBI registration certificate.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Army Government Bodies</b>	<ul style="list-style-type: none"> <li>• Self-certification on letterhead.</li> <li>• Authorized signatories list with specimen signatures.</li> </ul>
<b>Registered Society</b>	<ul style="list-style-type: none"> <li>• Copy of Registration Certificate under Societies Registration Act.</li> <li>• List of Managing Committee members.</li> <li>• Committee resolution for persons authorised to act as authorised signatories with specimen signatures.</li> <li>• True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.</li> </ul>

**ANNEXURE - 1**  
**ACCOUNT OPENING KIT**

**INDEX OF DOCUMENTS**

**MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES**

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Account Opening Form	A. KYC Form - Document captures the basic information about the constituent and an instruction / check list.	1-6
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list.	7-9
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).	Given to Client with Welcome Kit
3.	*Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
4.	*Guidance Note	Documents 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 procedure of the stock broker.	10-14
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	15

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

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Authorisation for Electronic Communication	For authorising the trading member to send Electronic Contract Notes.	16
2.	Running Account Authorisation	Helps the client to enjoy exposures linked to the credit in the trading account.	17
3.	Letter of Authority	Letter where in Client Authorises Stock Broker to maintain running account and to accept verbal orders etc.	18
4.	Declaration by HUF	Declaration by HUF	19
5.	FATCA - CRS Declaration	FATCA & CRS Declaration for Non-Individual	20-22
6.	Declaration for Name Discrepancy in PAN Card, Bank Proof & Address Proof	Declaration	23
7.	Prevention of Money Laundering	Declaration	24
8.	Most Important Terms and Conditions		25



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

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

Line 1\*

Line 2

Line 3

District\*  Pin / Post Code\*  State / U.T Code\*  City / Town / Village\*  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

State\*  ZIP / Post Code\*  City / Town / Village\*  ISO 3166 Country Code\*

5. CONTACT DETAILS (All communications 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 (Aadhaar)

F- NREGA Job Card

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

S- Simplified Measures Account - Document Type code  Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

- I hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am aware that I may be held liable for it.
- I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number/email address.



[Signature / Thumb Impression]

Date :  -  -  -  -  -  -  -  -  -  -  -  Place :

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received  Certified Copies  IPV Done

Date  -  -  -  -  -  -  -  -  -  -  -  Place

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

**DETAILS**

Name  NYCE Securities & Derivatives Ltd

[Institution Stamp]



**KNOW YOUR CLIENT (KYC) Application Form - For Individual**

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No. \_\_\_\_\_

**A IDENTITY DETAILS**

Name of the Applicant \_\_\_\_\_

Father's / Husband's Name \_\_\_\_\_

Gender  Male  Female      Marital status  Single  Married      Date of Birth \_\_\_\_\_

Nationality  Indian  Other (Please specify) \_\_\_\_\_

Status  Resident Individual  Non Resident  Foreign National

Permanent Account Number (PAN) \_\_\_\_\_

Aadhaar Number, if any: \_\_\_\_\_

Specify Proof of Identity submitted  PAN card  Other (Please specify) \_\_\_\_\_

**PHOTOGRAPH**

Please affix  
your recent passport  
size photograph and  
sign across it

**B ADDRESS DETAILS**

Correspondence Address       Residence Address

Residence / Correspondence Address \_\_\_\_\_

City / Town / Village \_\_\_\_\_ Pin Code \_\_\_\_\_

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

**Contact Details**

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

Tel. (Res.) \_\_\_\_\_ Mobile No \_\_\_\_\_

E-Mail Id. \_\_\_\_\_

Specify the Proof of Address submitted for Residence / Correspondence Address: \_\_\_\_\_

Permanent Address (If different from above, mandatory for Non-Resident Applicant to specify overseas address)

\_\_\_\_\_

City / Town / Village \_\_\_\_\_ Pin Code \_\_\_\_\_

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

**C DECLARATION**

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

Date \_\_\_\_\_



Signature of the Applicant

**FOR OFFICE USE ONLY**

**In Person Verification (IPV) Details:**

Name of the person who has done the IPV: \_\_\_\_\_

Designation: \_\_\_\_\_ Employee ID: \_\_\_\_\_

Name of the Organization: **NYCE Securities & Derivatives Ltd.**

Date of IPV: \_\_\_\_\_ Signature of the person who has done the IPV \_\_\_\_\_

Seal/Stamp of the Intermediary

Originals Verified & Self Attested Document copies received

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

Name & Signature of the Authorised Signatory

**KNOW YOUR CLIENT (KYC) Application Form - For Non-Individual**

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

(Please tick ✓ the box on left margin of appropriate row where CHANGE/CORRECTION is required and provide the details in the corresponding row)

Acknowledgement No. \_\_\_\_\_

**A IDENTITY DETAILS**

Name of the Applicant \_\_\_\_\_

Date of Incorporation \_\_\_\_\_ Place of Incorporation \_\_\_\_\_

Date of commencement of business \_\_\_\_\_

Permanent Account Number (PAN) \_\_\_\_\_

Registration No. (e.g. CIN) \_\_\_\_\_

Status (Please tick any one)

Private Limited Co.     Public Ltd. Co.     Body Corporate     Partnership

Trust     Charities     NGO's     FI     FII

HUF     AOP     Bank     Government Body     Non-Government Organization

Defense Establishment     BOI     Society     LLP     Others (Please specify) \_\_\_\_\_

**PHOTOGRAPH**

Please affix  
your recent passport  
size photograph and  
sign across it

**B ADDRESS DETAILS**

Correspondence Address \_\_\_\_\_

City / Town / Village \_\_\_\_\_ Pin Code \_\_\_\_\_

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

Contact Details

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

Tel. (Res.) \_\_\_\_\_ Mobile No \_\_\_\_\_

E-Mail Id. \_\_\_\_\_

Specify the Proof of Address submitted for Correspondence Address: \_\_\_\_\_

Registered Address (If different from above) \_\_\_\_\_

City / Town / Village \_\_\_\_\_ Pin Code \_\_\_\_\_

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

**C OTHER DETAILS**

Name, PAN, Residential Address and photographs of Promoters/Partners/Karta/Trustees and whole time directors : \_\_\_\_\_  
If space is insufficient, enclosed these details separately (illustrative format enclosed)

DIN OF Whole time directors : \_\_\_\_\_  
If space is insufficient, enclosed these details separately (illustrative format enclosed)

AADHAR No. OF Promoters/Partners/Karta : \_\_\_\_\_  
If space is insufficient, enclosed these details separately (illustrative format enclosed)

**D DECLARATION**

I/We hereby declare that the details furnished above are true and correct to the best of my/our 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/ We are aware that I/we may be held liable for it.

Date \_\_\_\_\_



Name & Signature of the Director/Authorised Signatory(ies)

**FOR OFFICE USE ONLY**

Originals Verified & Self Attested Document copies received

Name & Signature of the Authorised Signatory

Seal/Stamp of the Intermediary

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

**DETAILS OF PROMOTERS / PARTNERS / KARTA / TRUSTEE AND WHOLE TIME DIRECTORS FORMING A PART OF  
KNOW YOUR CLIENT (KYC) APPLICATION FORM FOR NON-INDIVIDUALS**

<b>Name of the Applicant</b>												<b>PAN of the Applicant</b>												
1.	Name																			<b>PHOTOGRAPH</b>  Please affix your recent passport size photograph and sign across it				
2.	Relationship with Applicant (i.e. promoters, whole time directors etc.)																							
3.	a. PAN																					b. DIN/Aadhaar No.		
4.	Residential/Registered Address																							
		City/Town/Village						Pin Code									State			Country				

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

<b>Name</b>																				<b>PHOTOGRAPH</b>  Please affix your recent passport size photograph and sign across it					
<b>Relationship with Applicant (i.e. promoters, whole time directors etc.)</b>																									
<b>a. PAN</b>																						<b>b. DIN/Aadhaar No.</b>			
<b>Residential/Registered Address</b>																									
		City/Town/Village						Pin Code									State			Country					

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

<b>Name</b>																				<b>PHOTOGRAPH</b>  Please affix your recent passport size photograph and sign across it					
<b>Relationship with Applicant (i.e. promoters, whole time directors etc.)</b>																									
<b>a. PAN</b>																						<b>b. DIN/Aadhaar No.</b>			
<b>Residential/Registered Address</b>																									
		City/Town/Village						Pin Code									State			Country					

5. Please tick, if applicable :  Politically Exposed Person (PEP)  Related to Politically Exposed Person (PEP)

<b>Name &amp; Signature of the Authorised Signatory(ies)</b>		<b>Date</b>	<table border="1" style="display: inline-table; border-collapse: collapse;"> <tr> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">D</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">M</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> <td style="width: 20px; height: 20px;">Y</td> </tr> </table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y				

## TRADING ACCOUNT RELATED DETAILS

(For Individuals &amp; Non-Individuals)

## A. OTHER DETAILS

- Gross Annual Income Details : Income Range per annum :  Below Rs. 1 Lac  Rs. 1 Lac to 5 Lac  
(please specify)  Rs. 5 Lac to 10 Lac  Rs. 10 Lac to 25 Lac  Rs. 25 Lac to 1 Crore  >1 Crore

Net Worth (Net worth should not be older than 1 year) Amount Rs.....  
as on (date)         (Compulsory for Non-Individuals)

- Occupation (please tick any one and give brief details) :  Private Sector  Public Sector  Government Service  Business  Professional  
 Agriculturist  Retired  Housewife  Student  Others \_\_\_\_\_ Please Specify
- Please tick, if applicable :  Politically Exposed Person (PEP)  Related to a Politically Exposed Person (PEP)
- Any other information : .....

## B. BANK ACCOUNT(S) DETAILS






Bank Name	Branch Address	Bank Account Number	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others - in case of NRI / NRE / NRO		

## C. DEPOSITORY ACCOUNT(S) DETAILS

Depository Participant Name	Name of Depository	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			
	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL			

## D. TRADING PREFERENCES

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

Exchanges	NSE			MCX
All Segments	CM	FO	CD	MCX
				

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

# 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.

**E 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 :

**F. DEALINGS THROUGH SUB-BROKES AND OTHER STOCK BROKERS**

If client is dealing through the sub-broker, provide the following details:			
Sub-broker's Name			
SEBI Registration number			
Registered office address			
Ph.		Fax	
		Website	
Whether dealing with any other stock broker/sub-broker (if case dealing with 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			

**G. ADDITIONAL DETAILS**

Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)	<input type="checkbox"/> Electronic Contract Note	<input type="checkbox"/> Physical Contact Notes
Specify your Email id, if applicable		
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)		
Number of years of Investment/Trading Experience		
In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:		
Any other information		

**H. INTRODUCER DETAILS (optional)**

Name of the introducer	
Status of the Introducer	<input type="checkbox"/> Sub Broker <input type="checkbox"/> Remisier <input type="checkbox"/> Auth. Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others _____
Address and Phone No. of the Introducer	
Sign. of the Introducer	

**I. NOMINATION DETAILS (for individuals only)**

<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate																					
Name of the Nominee																					
Relationship with the Nominee																					
PAN of Nominee	<table border="1" style="width: 100%; text-align: center;"> <tr> <td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td> </tr> </table>																				
	Date of Birth of Nominee																				
Aadhaar of Nominee																					
Address and Ph. No. of the Nominee																					
If Nominee is a minor, details of guardian :																					
Name of the Guardian																					
Address and Ph. No. of Guardian																					
Sign. of Guardian																					

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

<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 20%;">Name</td><td></td></tr> <tr><td>Signature</td><td></td></tr> <tr><td rowspan="4">Address</td><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> </table>	Name		Signature		Address					<table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="width: 20%;">Name</td><td></td></tr> <tr><td>Signature</td><td></td></tr> <tr><td rowspan="4">Address</td><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> <tr><td></td></tr> </table>	Name		Signature		Address				
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Name																			
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Address																			

**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 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.

	Signature of Client / All Authorized Signatory (ies)
--	--

Place \_\_\_\_\_

Date 

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

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client : \_\_\_\_\_

	Document verified with Originals	Client Interviewed By	In-Person Verification Done by
Name of the Employee			
Employee Code			
Designation of the Employee			
Date			
Signature			

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 NYCE Securities & Derivatives Ltd.**
 \_\_\_\_\_  
 Signature of the Authorised Signatory

Date \_\_\_\_\_

Seal / Stamp of the Stock Broker

**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.

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 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:
- 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.

**1. Refusal of orders for penny/illiquid stock**

The stock broker may from time to time limit (quantity/value)/refuse orders in one or more securities due to various reasons including market liquidity, value of security(ies), the order being for securities which are not in the permitted list of the stock broker/exchange(s) /SEBI. Provided further that stock broker may require compulsory settlement/advance payment of expected settlement value/ delivery of securities for settlement prior to acceptance/placement of order(s) as well. The client agrees that the losses, if any on account of such refusal or due to delay caused by such limits, shall be borne exclusively by the client alone. The stock broker may require reconfirmation of orders, which are larger than that specified by the stock broker's risk management, and is also aware that the stock broker has the discretion to reject the execution of such orders based on its risk perception.

**2. Setting up client's exposure limits and conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

The stock broker may from time to time impose and vary limits on the orders that the client can place through the stock broker's trading system (including exposure limits, turnover limits, limits as to the number, value and/or kind of securities in respect of which orders can be placed etc.). The client is aware and agrees that the stock broker may need to vary or reduce the limits or impose new limits urgently on the basis of the stock broker's risk perception and other factors considered relevant by the stock broker including but not limited to limits on account of exchange/ SEBI directions/limits ( such as broker level/ market level limits in security specific/volume specific exposures etc.) , and the stock broker may be unable to inform the client of such variation, reduction or imposition in advance. The client agrees that the stock broker shall not be responsible for such variation, reduction or imposition or the client's inability to route any order through the stock broker's trading system on account of any such variation, reduction or imposition of limits. The client further agrees that the stock broker may at any time, at its sole discretion and without prior notice, prohibit or restrict the client's ability to place orders or trade in securities through the stock broker, or it may subject any order placed by the client to a review before its entry into the trading systems and may refuse to execute/allow execution of orders due to but not limited to the reason of lack of margin/securities or the order being outside the limits set by stock broker/exchange/ SEBI and any other reasons which the stock broker may deem appropriate in the circumstances. The client agrees that

the losses, if any on account of such refusal or due to delay caused by such review, shall be borne exclusively by the client alone.

The stock broker is required only to communicate/ advise the parameters for the calculation of the margin/security requirements as rate(s)/percentage(s) of the dealings, through anyone or more means or methods such as post /speed post/courier/registered post/registered A.D/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the notice board of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/ television broadcast/ newspapers advertisements etc; or any other suitable or applicable mode or manner. The client agrees that the postal department/the courier company /newspaper company and the e-mail/voice mail service provider and such other service providers shall be the agent of the client and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voice mail service provider, etc. by the stock broker and the client agrees never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever and once parameters for margin/security requirements are so communicated, the client shall monitor his/her/its position (dealings/trades and valuation of security) on his/her/its own and provide the required/deficit margin/security forthwith as required from time to time whether or not any margin call or such other separate communication to that effect is sent by the stock broker to the client and /or whether or not such communication is received by the client.

The client is not entitled to trade without adequate margin/security and that it shall be his/her/its responsibility to ascertain beforehand the margin /security requirements for his/ her /its orders/trades/ deals and to ensure that the required margin/security is made available to the stock broker in such form and manner as may be required by the stock broker. If the client's order is executed despite a shortfall in the available margin, the client, shall, whether or not the stock broker intimates such shortfall in the margin to the client, make up the shortfall suo moto immediately. The client further agrees that he /she/it shall be responsible for all orders (including any orders that may be executed



without the required margin in the client's account) &/or any claim /loss/ damage arising out of the non availability /shortage of margin /security required by the stock broker &/or exchange &/or SEBI.

The stock broker is entitled to vary the form (i.e., the replacement of the margin/security in one form with the margin/security in any other form, say, in the form of money instead of shares) &/or quantum &/or percentage of the margin &/or security required to be deposited/made available, from time to time.

The margin/security deposited by the client with the stock broker are not eligible for any interest.

The stock broker is entitled to include/appropriate any/all payout of funds &/or securities towards margin/ security without requiring specific authorizations for each payout.

The stock broker is entitled to transfer funds &/ or securities from his account for one exchange &/or one segment of the exchange to his/her/its account for another exchange &/or another segment of the same exchange whenever applicable and found necessary by the stock broker.

The client also agrees and authorises the stock broker to treat/adjust his/ her/its margin/security lying in one exchange &/or one segment of the exchange/towards the margin/security/pay in requirements of another exchange &/or another segment of the exchange.

The stock broker is entitled to disable/freeze the account &/or trading facility/any other service. facility, if, in the opinion of the stock broker, the client has committed a crime/fraud or has acted in contradiction of this agreement or/is likely to evade/violate any laws, rules, regulations, directions of a lawful authority whether Indian or foreign or if the stock broker so apprehends.

### **3. Applicable brokerage rate**

The stock broker is entitled to charge brokerage within the limits imposed by exchange which at present is as under:

- a. For Cash Market Segment: The maximum brokerage chargeable in relation to trades effected in the securities admitted to dealings on the Capital Market segment of the Exchange shall be 2.5 % of the contract price exclusive of statutory levies. It is hereby further clarified that where the sale/purchase value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be collected.
- b. For Option contracts: Brokerage for option contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. It is hereby clarified that brokerage charged on options contracts

shall not exceed 2.5% of the premium amount or Rs 100/- (per lot) whichever is higher.

### **4. Imposition of penalty/delayed payment charges**

The client agrees that any amounts which are overdue from the client towards trading or on account of any other reason to the stock broker will be charged with delayed payment charges at such rates not exceeding 2% p.m. as may be determined by the stock broker. The client agrees that the stock broker may impose fines/penalties for any orders/trades/deals/actions of the client which are contrary to this agreement/rules/regulations/bye laws of the exchange or any other law for the time being in force, at such rates and in such form as it may deem fit. Further where the stock broker has to pay any fine or bear any punishment from any authority in connection with/as a consequence of/in relation to any of the orders/trades/deals/actions of the client, the same shall be borne by the client. The client agrees to pay to the stock broker brokerage, commission, fees, all taxes, duties, levies imposed by any authority including but not limited to the stock exchanges (including any amount due on account of reassessment/backlogs etc.), transaction expenses, incidental expenses such as postage, courier etc. as they apply from time to time to the client's account/transactions/services that the client avails from the stock broker.

### **5. The right to sell clients' securities or close clients' positions, without giving notice to the client, on account of non-payment of client's dues**

The stock broker maintains centralized banking and securities handling processes and related banking and depository accounts at designated place. The client shall ensure timely availability of funds/securities in designated form and manner at designated time and in designated bank and depository account(s) at designated place, for meeting his/her/its pay in obligation of funds and securities. The stock broker shall not be responsible for any claim/loss/damage arising out of non availability/short availability of funds/securities by the client in the designated account(s) of the stock broker for meeting the pay in obligation of either funds or securities. If the client gives orders/trades in the anticipation of the required securities being available subsequently for pay in through anticipated payout from the exchange or through borrowings or any off market delivery(s) or market delivery(s) and if such anticipated availability does not materialize in actual availability of securities/funds for pay in for any reason whatsoever including but not limited to any delays/shortages at the exchange or stock broker level/non release of margin by the stock broker etc., the losses which may occur to the client as a consequence of such shortages in any manner such as on account of auctions/square off/closing outs etc., shall be solely to the account of the client and the

client agrees not to hold the stock broker responsible for the same in any form or manner whatsoever.

In case the payment of the margin/security is made by the client through a bank instrument, the stock broker shall be at liberty to give the benefit/credit for the same only on the realization of the funds from the said bank instrument etc. at the absolute discretion of the stock broker.

Where the margin /security is made available by way of securities or any other property, the stock broker is empowered to decline its acceptance as margin/security &/or to accept it at such reduced value as the stock broker may deem fit by applying haircuts or by valuing it by marking it to market or by any other method as the stock broker may deem fit in its absolute discretion.

The stock broker has the right but not the obligation, to cancel all pending orders and to sell/close/liquidate all open positions/ securities/shares at the pre-defined square off time or when Mark to Market (M-T-M) percentage reaches or crosses stipulated margin percentage mentioned on the website, whichever is earlier. The stock broker will have sole discretion to decide referred stipulated margin percentage depending upon the market condition. In the event of such square off, the client agrees to bear all the losses based on actual executed prices. In case open position (Le. short/long) gets converted into delivery due to non square off because of any reason whatsoever, the client agrees to provide securities/funds to fulfill the payin obligation failing which the client will have to face auctions or internal close outs; in addition to this the client will have to pay penalties and charges levied by exchange in actual and losses, if any. Without prejudice to the foregoing, the client shall also be solely liable for all and any penalties and charges levied by the exchange(s).

The stock broker is entitled to prescribe the date and time by which the margin/security is to be made available and the stock broker may refuse to accept any payments in any form after such deadline for margin/security expires.

Notwithstanding anything to the contrary in the agreement or elsewhere, if the client fails to maintain or provide the required margin/fund/security or to meet the funds/margins/ securities pay in obligations for the orders/trades/deals of the client within the prescribed time and form, the stock broker shall have the right without any further notice or communication to the client to take any one or more of the following steps:

- i. To withhold any payout of funds/securities.
- ii. To withhold/disable the trading/dealing facility to the client.
- iii. To liquidate one or more security(s) of the client by selling the same in such manner and at such rate which the stock broker may deem fit in its absolute discretion. It is agreed and understood by the client that securities here includes securities which are

pending delivery/receipt.

iv. To liquidate/square off partially or fully the position of sale &/or purchase in anyone or more securities/contracts in such manner and at such rate which the stock broker may decide in its absolute discretion.

v. To take any other steps which in the given circumstances, the stock broker may deem fit.

The client agrees that the loss(s) if any, on account of anyone or more steps as enumerated herein above being taken by the stock broker, shall be borne exclusively by the client alone and agrees not to question the reasonableness, requirements, timing, manner, form, pricing etc., which are chosen by the stock broker.

## **6. Shortages in obligations arising out of internal netting of trades**

Stock broker shall not be obliged to deliver any securities or pay any money to the client unless and until the same has been received by the stock broker from the exchange, the clearing corporation/ clearing house or other company or entity liable to make the payment and the client has fulfilled his/her/ its obligations first.

The policy and procedure for settlement of shortages in obligations arising out of internal netting of trades is as under:

- a. The securities delivered short are purchased from market on T+3 day which is the Auction Day on Exchange, and the purchase consideration (inclusive of all statutory taxes & levies) is debited to the short delivering seller client.
- b. If securities cannot be purchased from market due to any reason whatsoever on T+3 day they can be covered from the market on any subsequent trading days. In case any reason whatsoever (any error or omission) any delay in covering of securities leads to higher losses, stock broker will not be liable for the same. Where the delivery is matched partially or fully at the Exchange Clearing, the delivery and debits/credits shall be as per Exchange Debits and Credits.
- c. In cases of securities having corporate actions all cases of short delivery of cum transactions which cannot be auctioned on cum basis or where the cum basis auction payout is after the book closure/record date, would be compulsory closed out at higher of 10% above the official closing price on the auction day or the highest traded price from first trading day of the settlement till the auction day

## **7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client.**

We have margin based RMS System. Client may take exposure upto the amount of margin available with us. n

Client may not be allowed to take position in case of non-availability/ shortage of margin as per our RMS policy of the company. The existing position of the client is also liable to square off/ close out without giving notice due to shortage of margin/non making of payment for their pay-in obligation/outstanding debts.

#### **8. De-registering a client**

Notwithstanding anything to the contrary stated in the agreement, the stock broker shall be entitled to terminate the agreement with immediate effect in any of the following circumstances:

- i. If the action of the Client are prima facie illegal/ improper or such as to manipulate the price of any securities or disturb the normal/ proper functioning of the market, either alone or in conjunction with others.
- ii. If there is any commencement of a legal process against the Client under any law in force;
- iii. On the death/lunacy or other disability of the Client;
- iv. If a receiver, administrator or liquidator has been appointed or allowed to be appointed of all or any part of the undertaking of the Client;
- v. If the Client has voluntarily or compulsorily become the subject of proceedings under any bankruptcy or insolvency law or being a company, goes into liquidation or has a receiver appointed in respect of its assets or refers itself to the Board for Industrial and Financial Reconstruction or under any other law providing protection as a relief undertaking;
- vi. If the Client being a partnership firm, has any steps taken by the Client and/ or its partners for dissolution of the partnership;
- vii. If the Client have taken or suffered to be taken any action for its reorganization, liquidation or dissolution;
- viii. If the Client has made any material misrepresentation of facts, including (without limitation) in relation to the Security;
- ix. If there is reasonable apprehension that the Client is unable to pay its debts or the Client has admitted its inability to pay its debts, as they become payable;
- x. If the Client suffers any adverse material change in his/her/its financial position or defaults in any other agreement with the Stock broker;
- xi. If the Client is in breach of any term, condition or covenant of this Agreement;
- xii. If any covenant or warranty of the Client is incorrect or untrue in any material respect; However Stock notwithstanding any termination of the agreement, all transactions made under/pursuant to this

agreement shall be subject to all the terms and conditions of this agreement and parties to this agreement submit to exclusive jurisdiction of courts of law at the place of execution of this agreement by Stock Broker.

#### **9. Policy regarding treatment of inactive accounts:**

When trade is not done in an account for more than 6 months, Stock Broker reserves the right to treat the same as inactive account and temporarily suspend operations in such account. The management may allow operations in such account after making such verifications as it may deem fit. Further once an account is identified as inactive, process shall be initiated to transfer the funds and / or securities, if any lying in the client account to client's designated bank and / or demat account and an intimation to the effect shall be sent to concerned client.

#### **10. Policy regarding voluntary freezing/ blocking the online access of the trading account:**

In order to enhance the online security of client account, we provide the facility to clients to freeze/ block the online access of their trading account, in case any suspicious activity is observed in his trading account or for any other reasons. The freezing shall be applicable to all modes of online access to the client account which includes, internet based trading/ mobile app/ any other online access. In order to receive request from client for freezing of online access to client account, the client can choose any of the two methods:

- A. the client has to send Email from its registered email id to the following designated email id along with his name and UCC code, with a request to freeze online access of his account.  
stoptrade@nyceindia.com
- B. the client can call on mobile number 9958008163 and ask to freeze/ block the online access.

The above freeze shall result into only blocking of online access of client account. Other facility like, call and trade etc. shall be available with client to trade in his account.

Upon verification the procedure will take maximum of 30 minutes. The management may allow operations in such account after making such verifications as it may deem fit.

For and On Behalf of Constituent



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

**Client Acceptance of Policies and Procedures stated hereinabove:**

I/We have fully understood the same and do hereby sign the same and agree not to call into question the validity, enforceability and applicability of any provision/clauses this document any circumstances what so ever. These Policies and Procedures may be amended/changed unilaterally by the broker, provided the change is informed to me/us with through anyone or more means or methods such as post/speed post/courier/registered post/registered AD/facsimile/telegram/cable/e-mail/voice mails/telephone (telephone includes such devices as mobile phones etc.) including SMS on the mobile phone or any other similar device; by messaging on the computer screen of the client's computer; by informing the client through employees/agents of the stock broker; by publishing/displaying it on the website of the stock broker/making it available as a download from the website of the stock broker; by displaying it on the noticeboard of the branch/office through which the client trades or if the circumstances, so require, by radio broadcast/television broadcast/newspapers advertisements etc; or any other suitable or applicable mode or manner. I/we agree that the postal department/the courier company /newspaper company and the e-mail/ voice mail service provider and such other service providers shall be my/our agent and the delivery shall be complete when communication is given to the postal department/the courier company/the e-mail/voicemail service provider, etc. by the stock broker and I/we agree never to challenge the same on any grounds including delayed receipt/non receipt or any other reasons whatsoever. These Policies and Procedures shall always be read along with the agreement and shall be compulsorily referred to while deciding any dispute/ difference or claim between me/ us and stock broker before any court of law/judicial/adjudicating authority including arbitrator/ mediator etc.

For and On Behalf of Constituent



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

NSE - EQUITY SEGMENT			
Brokerage Slab		Slab in %	Minimum per Share
Delivery Based	<input type="checkbox"/> Each Side <input type="checkbox"/> Single Side		
Square Off	<input type="checkbox"/> Each Side <input type="checkbox"/> Single Side		

NSE - F & O SEGMENT			
Brokerage Slab		Slab in %	Minimum per Share / Lot
Future	<input type="checkbox"/> Each Side <input type="checkbox"/> Single Side		
Options	<input type="checkbox"/> Each Side <input type="checkbox"/> Single Side		

NSE - CURRENCY DERIVATIVES SEGMENT			
Brokerage Slab		Slab in %	Minimum Brokerage per Lot
Future	<input type="checkbox"/> Each Side <input type="checkbox"/> Single Side		
Options	<input type="checkbox"/> Each Side <input type="checkbox"/> Single Side		

MCX			
Brokerage Slab		Slab in %	Minimum Brokerage per Lot
Future	Each Side      Single Side		
Options	Each Side      Single Side		

Note:

1. Transaction & Clearing Charges, Stamp duty, GST, SEBI Fee, STT, CTT and all legal levies as may applicable from time to time shall be charged separately in addition to the brokerage.
2. Late payment penalty @18% p.a. calculated on daily overdue balance shall be charged till actual realisation.
3. In case an internet trading terminal is provided, connectivity charges @Rs. \_\_\_\_\_/- per month or \_\_\_\_\_% of turn over shall be charged separately.
4. Charges/ service standards are subject to revision at sole discretion of NYCE Securities & Derivatives Ltd.
5. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
6. Minimum processing fees of Rs. 20/- will be charged for each day of trade.



(Signature of Client)

### INTIMATION BY THE MEMBER FOR PROPRIETARY TRADING

Dear Constituent

Under instruction of SEBI, National Stock Exchange of India Ltd. (NSE) Multi Commodity Exchange of India Ltd. (MCX) has directed all its members to inform their clients whether they engage in proprietary trading in this regard we wish to inform you that we do engage in proprietary trading in the Cash, F&O & CDS of NSE and MCX.

Kindly take note of the above and oblige.

For **NYCE Securities & Derivatives Ltd.**

I have read the above letter.

Authorised signatory

(Signature of Client)

**AUTHORISATION FOR ELECTRONIC COMMUNICATION**

To,

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

**NYCE Securities & Derivatives Ltd.**

Regd. Office : 28, Ground Floor, JMD  
Megapolis, Sector-48, Gurugram-122018  
(Haryana)

**Sub : Authorisation for Electronic Communication**

Dear Sir,

I/We understand that I/We have the option to receive the contract notes in physical form or electronic form. In pursuance of the same, I/We hereby opt for receipt of contract notes in electronic form as well as all other communications including but not limited to account statement, holding statement, trade, order confirmations and any other notices also electronically.

I/We understand that for the above purpose, you are required to take from the client "an appropriate email account" for you to send the electronic contract notes. Accordingly, please take the following email account on your record for sending the contract notes and other communications to me/us.

1. ....
2. ....

I/We agree that the Log Reports of your dispatching software shall be a conclusive proof of dispatch of Contract Notes and any other electronic communication to me/us and such dispatch shall be deemed to mean receipt by me/us and shall not be disputed by me/us on account of any non-receipt / delayed receipt for any reason whatsoever.


I/We also agree that non-receipt of bounced mail notification by the stock broker shall amount to delivery at my/our e-mail id.

Please treat this authorisation as written ratification of my/our verbal directions / authorizations given and carried out by you earlier. I/We agree to indemnify you and keep you indemnified against all losses, damages and actions which you may suffer or face as a consequence of adhering to and carrying out my/our directions given above.

I/We agree to inform you any change in my email in future either in physical mode by regd. post or by hand delivery or through an email from my email id registered with you.

Thanking you

Yours faithfully,

 \_\_\_\_\_  
(Client Signature)

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

**RUNNING ACCOUNT AUTHORISATION**

To,

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

**NYCE Securities & Derivatives Ltd.**

Regd. Office : 28, Ground Floor, JMD  
 Megapolis, Sector-48, Gurugram-122018  
 (Haryana)

**Sub : Running Account Authorisation**

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment an/or Interest Rate Future segment in order to facilitate ease of operations and upfront requirement of margin for trade. I/We authorize you as under :

1. I/We request you to maintain running balance in my 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.
2. I/We request you to settle my funds account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt atleast
  - Once in every calander quarter** or
  - Once in a calender month.**
3. In case I/We have an outstanding obligation on the settlement date, you may retain the requisite funds towards such obligations and may also retain the funds expected to be required to meet future margin /settlement obligations computed in the manner as prescribed by SEBI/Exchange from time to time.
4. I/We further authorise you to retain such minimum value of funds at the time of settlement of a/c's as may be allowed by the exchange(s)/SEBI from time to time.

The running account authorisation provided by me shall continue and remain valid until it is revoked by me anytime in writing.

Thanking you

Yours faithfully,



 \_\_\_\_\_  
 (Client Signature)

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

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

**LETTER OF AUTHORITY**

To,

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

**NYCE Securities & Derivatives Ltd.**

Regd. Office: 28, Ground Floor, JMD Megapolis,  
Sector-48,Gurugram-122018 (Haryana)

**Sub : Letter of Authority – NSE, MCX**

I/We am/are dealing in shares/securities with you at NSE in various segments and in order to facilitate ease of operations. We authorize you as under:

**1. Delivery of order/ trade confirmation/ cancellation:**

I/We hereby authorize you not to provide me / us order confirmation / Modification / Cancellation Slips and Trade Confirmation slips to avoid unnecessary paper work. I/we shall get the required details from contract notes and confirmation issued by you.

**2. Telephonic Conversation:**

I/We request you to consider my/our telephonic instructions for order placing/order modification/order cancellation as a written instruction and give us all the confirmation on telephone unless instructed otherwise in writing. I/We am/are getting required details from contracts issued by you.

**3. Fines & Penalties:**

All fines/penalties and charges levied upon you due to my acts / deeds or transactions may be recovered by you from my account.

**4. Charges & Balance Maintenance:**

I/We have a Trading As well as depository relationship with ..... 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/our trading account / pay adequate advance fee for the said reason.

**5. I/We authorized you to pledge / place securities retained in my/our running account with the exchange, clearing corporation, clearing member or any other financial institutional against the debit in my account arising due to my/our margin / settlement obligation.****6. I/We have been explained that I/We may not opt to give any of the above authorisation and that the above authorisations are voluntary on my/our part and that I/We can revoke this authorisation at any point of time during the operation of my/our trading account with you by giving you a notice in writing.**

Thanking you,

Yours faithfully



\_\_\_\_\_  
(Client Signature)



**DECLARATION TO BE GIVEN BY HUF**

To,

**NYCE Securities & Derivatives Ltd.**Regd. Office : 28, Ground Floor, JMD  
Megapolis, Sector-48, Gurugram-122018  
(Haryana)

Dated : .....

Dear Sir,

We, all the coparceners (members) detailed below of the Hindu Undivided Family having PAN No. ....do hereby authorize karta of the family Mr..... to open / operate in the name of this HUF a dealing / trading account and inter-alia to open and /or operate accounts with a Depository Participant, and to issue notices and instructions relating to transfer, pledging, dematerializing or Rematerializing, orders, execute deals through you for and on behalf of the above named HUF and we state that we are and shall always be jointly and severally responsible for the dealings/ orders / trades / transactions that are executed by the karta Mr ..... and all his orders / deals shall be binding on the HUF and all its members jointly as well as severally.

In the eventuality of change of Karta or change in the constitution of HUF we shall inform you in writing and understand that we are required to collect from you an acknowledgement of having taken the same on record.

The Specimen Signature of the Karta Mr ..... is given below :

Specimen Signature in full.....

Thanking you,

Yours faithfully,

Name of the Co-Parceners	Sex	Date of Birth	Relationship with the Karta	Signature of the Co-Parceners

**घोषणा**

मैं.....यह घोषणा करता हूँ कि मैंने नाईस सिक्योरिटीज अण्ड डेरिवेटिव्स लिमिटेड में अपना ट्रेडिंग खाता खोला है। उसके लिये मैंने अकाउन्ट ओपनिंग फार्म और विभिन्न कागजात पर हस्ताक्षर किये हैं जोकि अंग्रेजी भाषा में हैं, मुझे इसका हिन्दी में मतलब समझा दिया गया है। मैं नाईस सिक्योरिटीज अण्ड डेरिवेटिव्स लिमिटेड के नियम व शर्तों से सहमत हूँ।



हस्ताक्षर





Details	UBO1	UBO2	UBO3
Name of UBO			
UBO Code (Refer 3(iv) (A) of Part C)			
Country of Tax residency*			
PAN #			
Address	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____	Zip <input type="text"/> State: _____ Country: _____
Address Type	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office	<input type="checkbox"/> Residence <input type="checkbox"/> Business <input type="checkbox"/> Registered office
Tax ID %			
Tax ID Type			
City of Birth			
Country of birth			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____	<input type="checkbox"/> Service <input type="checkbox"/> Business <input type="checkbox"/> Others _____
Nationality			
Father's Name			
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others	<input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> Others
Date of Birth	DD/MM/YYYY	DD/MM/YYYY	DD/MM/YYYY
Percentage of Holding (%) <sup>§</sup>			

\* To include US, where controlling person is a US citizen or green card holder

<sup>†</sup> If UBO is KYC compliant, KYC proof to be enclosed. Else PAN or any other valid identity proof must be attached. Position / Designation like Director / Settlor of Trust / Protector of Trust to be specified wherever applicable.

<sup>‡</sup> In case Tax Identification Number is not available, kindly provide functional equivalent


<sup>§</sup> Attach valid documentary proof like Shareholding pattern duly self attested by Authorized Signatory / Company Secretary

**DECLARATION**

I have read and understood the information requirements and the Terms & Conditions mentioned in this Form (read along with FATCA & CRS instructions) and hereby confirm that the information provided by me on this Form is true, correct and complete. I hereby agree and confirm to inform NYCE Securities & Derivatives Ltd. for any modification to this information promptly.

I further agree to abide by the provisions of the scheme related documents inter alia provisions of FATCA & CRS on Automatic Exchange of Information (AEOI).

<b>Name</b>	
<b>Designation</b>	

  
(Client Signature)

Date :

Place :

For Investor convenience, NYCE Securities & Derivatives Ltd. collecting this mandatory information for updating across all Group Companies of Stratagem NYCE Securities & Derivatives Ltd. whether you are already an investor or would become an investor in future. Please submit the form fully filled, signed, for all the holders, separately, and submit at your nearest NYCE Securities & Derivatives Ltd. branch or you can dispatch the hard copy to-

**NYCE Securities & Derivatives Ltd. Registered  
Office: 28, Ground Floor, JMD Megapolis, Sector-48, Gurugram-12018 (Haryana)**

**DECLARATION, INDEMNITY CUM UNDERTAKING FOR NAME DISCREPANCY IN PAN CARD, BANK PROOF & ADDRESS PROOF**

To,

**NYCE Securities & Derivatives Ltd.** Regd.Office: 28, Ground Floor, JMD Megapolis, Sector-48,  
Gurugram-122018 (Haryana)

I \_\_\_\_\_ s/o, w/o, d/o \_\_\_\_\_

\_\_\_\_\_, refer to my Trading  
Account\_\_\_\_\_ with NYCE Securities & Derivatives Ltd. (NYCE) do hereby affirm, declare and undertake  
that;

1. That my name as it appear on my trading account is \_\_\_\_\_
2. That my name as it appears on my demat account is \_\_\_\_\_
3. That my name as it appears on the Income Tax website is \_\_\_\_\_
4. That my name as it appears on the Address proof is \_\_\_\_\_
5. That my name as it appears on my Pan Card is \_\_\_\_\_
6. That my name as it appears on my Aadhaar Card is \_\_\_\_\_
7. That my name as it appears on the Bank Proof is \_\_\_\_\_
8. That above mentioned names, on Trading account, Demat account, Tax website, Address proof, PAN Card No. \_\_\_\_\_ and Bank account bearing \_\_\_\_\_ are mine alone.
9. That I hereby request NYCE to maintain my name in Demat and Trading account as per the name appearing on the website / PAN card.
10. That I promise and undertake to get my PAN card altered in accordance with my name as appearing on the Income tax within 45 days from the date of signing this undertaking. NYCE may, at its sold discretion, terminate my trading and demat account in the event of me not getting my name altered within 45 days of signing this undertaking.
11. That I further undertake to open a bank account in accordance with the name as appearing on the Income Tax website week from the date of signing this undertaking.
12. I further undertake that in case my name has been changed after approval from government authorities and notification gazette. I shall get the name change effected in PAN, Bank account etc. and furnish immediately to NYCE.
13. That I further declare that I am responsible and I shall indemnify & keep indemnified NYCE, its directors, officers, employees, agents from and against any and all losses, claims, liabilities, obligations, damages, deficiencies, judgements, action proceedings arising out or in relation to corporate benefits, IPO refund, Foreign Exchange Management Act (FEMA) transfer, dematerialization of securities, rematerialization of securities, dividends, interest etc., that may arise out Declaration-cum- undertaking and/or acting on this basis.

That the contents of this declaration, Indemnity-cum-undertaking have been explained to me in vernacular and I have understood before signing it. That this declaration, Indemnity-cum-undertaking given by me to NYCE is by my absolute free


\_\_\_\_\_  
(Client Signature)\_\_\_\_\_  
(Client Name)

**ADDENDUM TO THE CLIENT REGISTRATION FORM / KEY INFORMATION**

Date \_\_\_\_\_

In compliance with the provisions of Prevention of Money Laundering Act, 2002 and subsequent circulars issued by SEBI thereto, we hereby obliged to consider it as a part of client registration document:

**PREVENTION OF MONEY LAUNDERING**

Prevention of Money Laundering Act, 2002 (herein refer to an "Act") came into affect July 1, 2005 vide notification No. GRE 436(E) dated July 1,2005 issued by Department of Revenue, Ministry of Finance, Govt. of India. Further SEBI vide Circular reference number ISD/ CIR/RR/AML/1/06 dated January 18,2006 mandated that all the Stock Brokers should formulate and implement a proper policy framework as per the guidelines on anti money laundering measures and also to adopt a Know Your Client (KYC) policy. SEBI also issued another circular reference number ISD/CIR/RR/AML/2/06 dated March 23,2006 advising all the Stock Broker to take necessary steps to ensure compliance with the requirement of Sec12of the Act inter-alia, maintenance and preservation of records and reporting of information relating to cash and suspicious transactions to Financial Intelligence Unit-India (FIU-IND), New Delhi.

The constituents should ensure that the amount invested in the securities is through legitimate sources only and does not involve and is not designated for the purpose of contravention or evasion of the provision of the Income Tax Act, Prevention of Money Laundering Act, Prevention of corruption Act and/or any other law for the time being in force enacted by Govt. of India from time to time or any rules and regulations, notifications or directions issued there under.

To ensure appropriate identification of the constituents under its KYC policy and with view to monitor the transactions for the prevention of anti money laundering, the company has reserve the right to seek information, record constituents telephonic calls and/or obtained or retained documentation for establishing the identity of the constituents, proof of residence, source of funds, etc. It may re-verify identity and obtain any incomplete or additional information for this purpose.

The constituents or their attorney, if any, shall produce independent source documents, such as photographs, certified copies of ration card/passport/pan card/driving license or such other documents or produce such information as may be required from time to time for verification of the identity, residential address, financial information of the constituents by the company.

If the constituents refuses/fails to produce the required documents and information with in the period specified in the communication sent by company to the constituents, then the company after applying due diligence measures believes that the transaction is suspicious in nature within the purview of the Act and SEBI circulars issued from time to time or on account of deficiencies in the documentation shall have absolute discretion to report suspicious transaction to FIU-IND or to reject the application or to freeze the account of constituent. Thus the KYC documentation shall comply by all the constituents in its true spirit and word.

The Company, its Directors, its Employees and agents shall not be liable in any manner for any claim arising whatsoever on account of freezing of account or on rejection of application etc. due to noncompliance of the provisions of the Act, SEBI circulars and KYC policy and or where company believes that transaction is suspicious in nature within the purview of the Act or SEBI circulars and reporting the same to FIU-IND.

This document form an integral part of the client registration form as addendum or key information memorandum and will be subject to amendments from time to time.



\_\_\_\_\_  
Client Signature

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

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. 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 its Clearing Member/ 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.



## CHECK LIST FOR CLIENT REGISTRATION FORM

FORM RECEIVING DATE : ACCOUNT OPENING DATE :    TM DP	BRANCH CODE : RL/TL SUB BRANCH CODE :	CLIENT CODE TM : DP :
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I.		YES	REMARKS				
a)	Name as it appears on the ID & Address Proof (in capital letter)						
b)	Signature of Client on all pages and wherever necessary (Witness wherever required) <input type="checkbox"/>						
c)	Signature Checked and Verified.						
d)	Photograph (duly signed) <input type="checkbox"/>						
e)	A copy of PAN Card (Self Attested) <input type="checkbox"/>						
f)	Address Proof (Self Attested) <input type="checkbox"/>						
g)	Bank Proof containing Client Name (Self Attested) <input type="checkbox"/>						
h)	Demat Account Proof (Self Attested) <input type="checkbox"/>						
i)	Stamp Paper : <input type="checkbox"/>						
j)	Exchange given : <input type="checkbox"/> NSE CM <input type="checkbox"/> NSE F&O <input type="checkbox"/> NSE CSD						
2.	Telephonic confirmation of Particulars done by _____ Date _____ Time _____ On Phone No. _____						
3.	<b>Details Punched in Computer by</b> _____						
4.	<b>Cross Checking done by</b> _____						
5.	<table border="0" style="width: 100%;"> <tr> <td style="width: 50%;"><b>UCC UPLOADED :</b></td> <td style="width: 50%;"></td> </tr> <tr> <td><input type="checkbox"/> NSE</td> <td><input type="checkbox"/> ENTERED IN FORM DATA</td> </tr> </table>	<b>UCC UPLOADED :</b>		<input type="checkbox"/> NSE	<input type="checkbox"/> ENTERED IN FORM DATA		
<b>UCC UPLOADED :</b>							
<input type="checkbox"/> NSE	<input type="checkbox"/> ENTERED IN FORM DATA						
6.	<b>BACK OFFICE WEB LOGIN</b> User Name ID _____ Password _____						
7.	<b>DP WEB LOGIN</b> User Name ID _____ Password _____						
8.	<b>Form sent to Surveillance by</b> _____ <b>Date :</b> _____ <b>Time :</b> _____						
9.	<b>Client ID Mapping done by</b> _____ Branch ID _____ User ID: _____ Dealer ID : _____						
10.	<b>INTERNET TRADING</b> <input type="checkbox"/> Odin Diet <input type="checkbox"/> I-Net <input type="checkbox"/> Fastrade User ID _____ Password _____						
11.	<b>Client Account Status Report issued by</b> _____						
12.	<b>Form Returned to Compliance by</b> _____ <b>Date :</b> _____ <b>Time :</b> _____						
13.	_____ <i>Pod No.</i> _____						





## *NYCE Securities & Derivatives Ltd.*

**Member : NSE, MCX**

**SEBI Regn. No.: INZ000208937**

**Registered Office: 28, Ground Floor, JMD**

**Megapolis, Sector-48, Gurugram-122018**

**(Haryana) Phone : +91-124-4994400**

**Fax : +91-124-4994400**

**E-mail : [support@nyceindia.com](mailto:support@nyceindia.com)**

**Website : [www.nyceindia.com](http://www.nyceindia.com)**

