

CLIENT REGISTRATION KIT

☐ INDIVIDUAL ☐ CORPORATE ☐ HUF ☐ FIRM ☐ OTHERS



MSB e-Trade Securities Ltd.

Form No.

File No.

Client Code

Name

Date

KRA Ref. No.

Demat A/c No. 12070600

CKYC No.

Branch

AP

Dear Customer,

Welcome to MSB e-TRADE GROUP

We look forward to your becoming one of our clients as an investor and to the pleasure of serving you. We request you to complete the relevant account opening form, and submit the required legible and self-attested documents. For ease of completion, you may refer the instruction list of this kit.

It shall be our endeavor as always to provide you truly satisfying services

FOR OFFICE USE ONLY

KRA REGISTRATION DETAIL

Name of the KRA Agency	
KRA SEBI Registration No.	
KRA Intermediary Name	
KRA Intermediary Ref. No.	
Client KRA Ref. No.	


DEPOSITORYACCOUNTDETAIL(12070600)

REPOSITORYACCOUNTDETAIL(12070600)

Client Depository/Repository A/c No.																
Account Open (Punched) by	Name & Signature								Name & Signature							
Account Released by	Name & Signature								Name & Signature							

FOR OFFICE USE ONLY

TRADINGACCOUNT

Account Open By					Released By				
For Capital Market / Future & Options / Currency Derivative / Commodity Derivative etc.									
Exchange	Client Code Allotted	Date of UCC upload to Exchange	Remarks, if any	Exchange	Client Code Allotted	Date of UCC upload to Exchange	Remarks, if any		
NSE		DD-MM-YYYY		MCX		DD-MM-YYYY			
BSE		DD-MM-YYYY		NCDEX		DD-MM-YYYY			
MSEI		DD-MM-YYYY				DD-MM-YYYY			
Back Office Login ID					Password				
User ID Internet Trading					Password				
Approved By:	For MSB e-Trade Securities Ltd.				Remarks, if any :				
									

ACKNOWLEDGMENT TO MSB e-Trade FROM CLIENTTo, **MSB e-Trade Securities Limited**

Date: _____

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

I/We intends to open a Trading account with M/s. MSB e-Trade Securities Ltd. who is Member of NSE, BSE, MSEI, MCX, NCDEX and CDSL, undertakes as follows:

1. I/We have been duly aware by Member that client has a preference to receive the below referred documents either in electronic form or in physical form:
 - A. Rights and Obligation of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories.
 - B. Right and Obligation of Stock Brokers, Sub-Brokers/Authorised Person and Clients as prescribed by SEBI and Stock Exchange.
 - C. Risk and Disclosure documents for capital market and derivative segments.
 - D. Guidance note-Do's and Don't for trading on the Exchange(s) for Investors.
 - E. Risk and Disclosure documents for Commodity Market.
 - F. Rights and Obligation of Members, Authorised Person and Clients as prescribed by SEBI and Commodity Exchange for Commodity Market.
 - G. Internet and Wireless technology based trading facility provided by Stock Brokers to Client.
 - H. Guidance note-Do's and Don't for the clients for Trading in commodity segment
 - I. Most Important Terms and Conditions (MITC)
 - J. Policies & Procedures of the Members
2. I/We am/are further aware by my/our Member that for receiving the above said documents in Electronic or Physical Form, I/We have to accord my/our consent.
3. Therefore, in reference to the above, I/We hereby voluntarily accord my/our consent to receive the aforesaid documents in:-
☐ Electronic Form ☐ Physical Form
4. If I/We opted for the same in Electronic mode, then Member can sent said aforesaid documents at my registered email id.
5. I/We have been further aware by my/our Member that the aforesaid documents has also been available at the Member's website i.e. at www.msbetrade.com
6. I/We am/are aware that the non receipt of bounced mail notification by the Member shall amount to delivery of the aforesaid documents at my registered email id.
7. I/We hereby accord my/our consent to an arbitration agreement by virtue of which I/We shall refer all my/our claims, differences or disputes between us which might have arise out of my/our trading, deposits, margin money, etc. in relation to my/our dealings in contracts and transactions which have been made subject to the Bye-Laws, Rules and Regulations of the Exchange or with reference to anything incidental thereto or in pursuance thereof or relating to their validity, construction, interpretation, fulfillment or the rights, obligations and liabilities of the parties thereto and including any question of whether such dealings, transactions and contracts have entered into, to the arbitration in accordance with the provisions of these Byelaws, Rules and Regulations of the Exchanges.

 1

Client Name: _____

RECEIPT OF PHYSICAL KIT

To,

MSB e-Trade Securities Limited

Date: _____

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

I/We hereby confirm that I/We have received a copy of following documents:

- A. Rights and Obligation of Beneficial Owner and Depository Participant as prescribed by SEBI & Depositories.
- B. Right and Obligation of Stock Brokers, Sub-Brokers/Authorised Person and Clients as prescribed by SEBI and Stock Exchange.
- C. Risk and Disclosure documents for capital market and derivative segments.
- D. Guidance note-Do's and Don't for trading on the Exchange(s) for Investors.
- E. Risk and Disclosure documents for Commodity Market.
- F. Rights and Obligation of Members, Authorised Person and Clients as prescribed by SEBI and Commodity Exchange for Commodity Market.
- G. Internet and Wireless technology based trading facility provided by Stock Brokers to Client.
- H. Guidance note-Do's and Don't for the clients for Trading in commodity segment
- I. Most Important Terms and Conditions (MITC)
- J. Policies & Procedures of the Members

 2

Client Name: _____

(Tear Here)

ANNEXURE - 1
ACCOUNT OPENING KIT

Mandatory

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.	7 - 14
		B. Document captures the additional information about the constituent relevant to trading account and an instruction / check list / Nomination.	15 - 20
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 the 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. (Alongwith Freeze / Unfreeze Trading Account)	21 - 25
6.	Tariff Sheet	Document detailing the rate / amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	26
7.	Disclosure Information for Pro-Trading	Disclosure Information for Proprietary Trading/Business (Pro-Trading)	26
8.	MITC	Most Important Terms and Conditions (MITC)	27

VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER

S.No.	Name of the Document	Brief Significance of the Document	Page No.
1.	Appendix - A Electronic Contract Note (ECN)	Document stating the send all contract note/bills, statement of account/ ledger in digital/electronic on provided email id by client.	29
2.	Running Account Authorisation	Helps the client to enjoy exposures linked to the credit in the trading account	30
3.	CKYC Download / Retrieve Consent	Consent for CKYC Download / Retrieve Consent	30
4.	Authorisation/Declaration for Electronic Contract Notes / SMS Alerts / E-mail Id / Mobile No.	Authorisation/Declaration for Electronic mode/Electronic Contract Notes (ECN)/SMS Alerts/ E-mail Id / Mobile No.	31
5.	Letter of Authority	To enable the trading member to act upon the clauses mentioned in the letter of authority	32
6.	Declaration by HUF	Declaration by Karta & all the Co-parceners	33
7.	Declaration for Name Mismatch	Declaration for Name Mismatch	34
8.	Client Defaulter Declaration	Declaration for being not involved in any Terrorist activity and not declared as defaulter by SEBI/NSE/BSE/MSEI/MCX/NCDEX/ICEX/CDSL etc.	34
9.	Electronic Mode	Statement of A/c Receiving in Electronic Mode	34
10.	NRI Undertaking	NRI Undertaking	35
11.	FATCA & CRS Declaration	FATCA & CRS Declaration for Individual & Non-Individual	36-38
12.	Format of Board Resolution	Format of Board Resolution in case of Corporate	56
13.	Check list	Check list (Provided in Last)	



EXCHANGE	SEGMENT	MEMBER / DP ID	SEBI REGN. NO.
NSE	CM/FO/CD/CO	12788	INZ000184638
BSE	CM/FO/CD/CO	6395	
MSEI	CM/FO/CD/CO	21000	
ICEX	CO	2062	
NCDEX	CO	00732	
MCX	CO	29905	
CDSL DP	DP	12070600	IN-DP-261-2016
CCRL - RP	RP	12070600	

Regd. & Corp Office:

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034, Delhi, INDIA

Phone : +91- 11-47107777

FAX : +91-11-47107731

E-mailid : info@msbetrade.com

Website : www.msbetrade.com

Compliance Officer's Details

Name : SURINDER KUMAR Phone No. : +91-11-47107730

E-mailID : surin@msbetrade.com

CEO's Details

Name : MUNISH BAJAJ Phone No. : +91-11-47107777(Ext.29)

E-mailID : md@msbetrade.com

Clearing Member Details

Name	Globe Capital Market Ltd.
SEBI Regn. No.	INZ000177137
Address	609, Ansal Bhawan, 16 K.G. Marg, New Delhi -110001

For any grievance/dispute please contact MSB e-Trade Securities Limited at the above address or email grievances@msbetrade.com (For Trading) or dpgrievances@msbetrade.com (For DP) and Phone No.+91-11-47107777. In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name**E-mail ID****Phone No.**

National Stock Exchange of India Ltd.

ignse@nse.co.in

022-26589190, 18002660058

BSE Ltd.

is@bseindia.com

022-22728097

Metropolitan Stock Exchange of India Ltd.

investorcomplaints@msei.in

022-67319000,61129028

Multi Commodity Exchange of India Ltd.

grievance@mcxindia.com

022-67318888

National Commodity & Derivative Exchange Ltd.

askus@ncdex.com

022-66406084

Indian Commodity Exchange Ltd.

info@icexindia.com

022-30849700

Central Depository Services (INDIA) Ltd.

complaints@cdslindia.com

022-22723333

MANDATORY DOCUMENTS PART -A

A. IMPORTANT POINTS :

1. Self attested copy of PAN card is mandatory for all clients.
2. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification. In case the original of any document is not produced for verification, then the copies should be properly attested by entities authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository Participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark Sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/ judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

1. PAN card with photograph. This is mandatory requirement for all applicants except those who are specifically exempt from obtaining PAN (listed in Section D)
2. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/Driving license.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, 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,
2. Driving Licence.
3. Proof of possession of Aadhaar.
4. the Voter's Identity Card issued by Election Commission of India,
5. job card issued by NREGA duly signed by an officer of the State
6. the letter issued by the National Population Register containing details of name, address, or any other document as notified by the Central Government in consultation with the Regulator.

D. Exemptions/clarification 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 Rs50,000/-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.

A) Fields marked with * are mandatory fields.
B) Tick✓ wherever applicable.
C) Please fill the form in English and in BLOCK letters.
D) Please fill the date in DD-MM-YYYY format.
E) For particular section update, please tick (✓) in the box
section number and strike off the sections not required
to be updated.

F) Please read section wise detailed guidelines / instructions at the end.
G) List of State/U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
H) List of two character ISO 3166 country codes is available at the end.
I) KYC number of applicant is mandatory for update application.
J) The 'OTP based E-KYC check box is to be checked for accounts opened using
OTP based E-KYC in non-face to face mode

For office use only (To be filled by financial institution)	Application Type*	New	<input type="checkbox"/> Update
	KYC Number	<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"/> (Mandatory for KYC update request)	
	Account Type*	<input type="checkbox"/> Normal <input type="checkbox"/> Minor <input type="checkbox"/> Aadhaar OTP based E-KYC (in non-face to face mode)	

<input type="checkbox"/> Name* (Same as ID proof)	<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"/>
Maiden Name	<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"/>
Father / Spouse Name	<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"/>
Mother Name	<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"/>
Date of Birth*	<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"/>	<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"/>
PAN	<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"/>	<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"/>
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"/> <input type="text"/>)																
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of India Origin														
Occupation	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Govt. Sector)																	
	<input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Retired <input type="checkbox"/> Self Employed <input type="checkbox"/> Housewife <input type="checkbox"/> Student)																	
	<input type="checkbox"/> B-Business	<input type="checkbox"/> X-Not Categorized																

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

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



Line 1*																														
Line 2																														
Line 3																														
District*							Pin / Post Code*					State/U.T											City / Town / Village*					Country		

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

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

<input type="checkbox"/>	A Passport Number	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
<input type="checkbox"/>	B-Voter ID Card	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
<input type="checkbox"/>	C-Driving Licence	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
<input type="checkbox"/>	D-NREGA Job Card	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
<input type="checkbox"/>	E-National Population Register Letter	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
<input type="checkbox"/>	F-Proof of Possession of Aadhaar	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
II	<input type="checkbox"/> KYC Authentication	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
III	<input type="checkbox"/> Offline verification of Aadhaar	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
IV	<input type="checkbox"/> Deomed Proof of Address-Document Type code	<div></div> <div></div>
V	<input type="checkbox"/> Self Declaration	

[illegible]

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Legal Entity / Other than Individuals



Important Instructions:

- A) Fields marked with * are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number or applicant is mandatory for update application.
 F) List of State / U.T. Code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instruction at the end.
 I) 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)

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

☐ Name*

Entity Constitution Type* ☐ Others (Specify) (Please refer instruction B at the end)

Date of Incorporation / Formation* DD - MM - YY YY YY

Date of Commencement of Business DD - MM - YY YY YY

Place of Incorporation / Formation*

Country of Incorporation / Formation* TIN or Equivalent Issuing Country

PAN* ☐ Form 60 furnished

TIN/ GST Registration Number

☐ **2. PROOF OF IDENTITY (Pol)*** (Please refer instruction B at the end)

☐ Officially valid document(s) in respect of person authorised to transact

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

Regn Certificate No.

☐ Memorandum and Articles of Association

☐ Partnership Deed

☐ Trust Deed

☐ Resolution of Board / Managing Committee

☐ Power of attorney granted to its manager, officers or employees to transact on its behalf

☐ Activity Proof - 1 (For Sole Proprietorship Only)

☐ Activity Proof - 2 (For Sole Proprietorship Only)

☐ **3. ADDRESS*** (Please see instruction C at the end)

3.1 Registered Office Address / Place of Business*

Proof of Address*

☐ Certificate of Incorporation / Formation

☐ Registration Certificate

☐ Other Document

Line 1*

Line 2

Line 3

City / Town / Village*

District*

PIN / Post Code*

State / U.T.

Country

3.2 Local Address in India (If different from Above)*

Line 1*

Line 2

Line 3

City / Town / Village*

District*

PIN / Post Code*

State / U.T.

Country

☐ **4. CONTACT DETAILS** (All communications will be sent to Mobile number/Email.ID provided" may be used) (Please refer instruction D at the end)

Tel. (Off)

FAX

Mobile

Email ID

Mobile

Email ID

☐ **5. NUMBER OF RELATED PERSONS** (Please refer instruction E at the end)

F) List of State / U.T. Code as per Indian Motor Vehicle Act, 1988 is available at the end.
G) List of two character ISO 3166 country codes is available at the end.
H) Please read section wise detailed guidelines / instruction at the end.
I) For particular section update, please tick (✓) in the box available before the Section number and strike off the sections not required to be updated.



(Mandatory for KYC update and delete request)

Please tick if applicable ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ No

	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	
Nationality*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
PAN	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Form 60 furnished	

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



Line 1*																										
Line 2																										
Line 3																										
District*					Pin / Post Code*					State / U. T.											City / Town / Village*					Country

<input type="checkbox"/>	A- Passport Number	<div></div>	
<input type="checkbox"/>	B-Voter ID Card	<div></div>	
<input type="checkbox"/>	C- Driving Licence	<div></div>	
<input type="checkbox"/>	D-NREGA Job Card	<div></div>	
<input type="checkbox"/>	E- National Population Register Letter	<div></div>	
<input type="checkbox"/>	F - Proof of Possession of Aadhaar	<div></div>	
II	<input type="checkbox"/>	E-KYC Authentication	<div></div>
II	<input type="checkbox"/>	Offline verification of Aadhaar	<div></div>
IV	<input type="checkbox"/>	Deemed PoA	<div></div>
V	<input type="checkbox"/>	Self Declaration	

Address																													
Line 1*																													
Line 2																													
Line 3																													
District*																				City / Town / Village*									
Pin / Post Code*										State / U.T.										Country									

[illegible]

REMARKS (IF ANY)	
------------------	--

2. APPLICANT DECLARATION

- Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process
☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

[illegible]

(Employee Signature) _____

INSTITUTION DETAILS

Name : MSB E-TRADE SECURITIES LIMITED
Code : IN0534



CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Related Person

Important Instructions:

- A) Fields marked with * are mandatory fields.
 B) Tick '✓' wherever applicable.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please fill the form in English and in BLOCK letters.
 E) KYC number or applicant is mandatory for update application.
 F) List of State / U.T. Code as per Indian Motor Vehicle Act, 1988 is available at the end.
 G) List of two character ISO 3166 country codes is available at the end.
 H) Please read section wise detailed guidelines / instruction at the end.
 I) 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 ☐ Delete
 (To be filled by financial institution) KYC Number (Mandatory for KYC update and delete request)

1. DETAILS OF RELATED PERSON* (Please refer instruction E at the end)

☐ Addition of Related Person ☐ Deletion of Related Person ☐ Update Related Person Details

KYC Number of Related Person (if available*) If KYC number is available, only 'Related Person Type' & 'Name' is mandatory

Related Person Type* ☐ Director ☐ Promoter ☐ Karta ☐ Trustee ☐ Partner ☐ Court Appointment Official ☐ Proprietor
☐ Beneficiary ☐ Authorised Signatory ☐ Beneficial Owner ☐ Power of Attorney Holder ☐ Other (Please specify)

DIN (Director Identification Number) (Mandatory if Related Person Type is Director)

Please tick if applicable ☐ Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐ No

1.1 PERSONAL DETAILS (Please refer instruction E at the end)

	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	
Nationality*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
PAN	<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Form 60 furnished	

1.2 PROOF OF IDENTITY AND ADDRESS* (Please refer instruction E at the end)

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

- ☐ A- Passport Number
☐ B-Voter ID Card
☐ C-Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F- Proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 III ☐ Offline verification of Aadhaar



Line 1*
 Line 2
 Line 3
 District* Pin / Post Code* State / U.T. City / Town / Village* Country

☐ 1.3. CURRENT ADDRESS DETAILS (Please refer instruction B at the end)

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

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

- ☐ A- Passport Number
☐ B-Voter ID Card
☐ C- Driving Licence
☐ D-NREGA Job Card
☐ E- National Population Register Letter
☐ F - Proof of Possession of Aadhaar
 II ☐ E-KYC Authentication
 II ☐ Offline verification of Aadhaar
 IV ☐ Deomed PoA
 V ☐ Self Declaration

Address

Line 1*																																		
Line 2																																		
Line 3																																		
District*							Pin / Post Code*							City / Town / Village*							State / U.T.							Country						

1. 4 CONTACT DETAILS (All communication will be sent on provided mobile no./Email-ID) (Please refer instruction D at the end)

Tel. (Off)							Tel. (Res)							Mobile													
Email ID																											

2. APPLICANT DECLARATION

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

I hereby give an explicit consent to download records from CKYCR.

Date :

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

 Place:

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

(Signature / Thumb Impression)

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received ☐ Certified Copies ☐ E-KYC data received from UIDAI ☐ Data received from Offline verification ☐ Digital KYC Process ☐

☐ Equivalent e-document ☐ Video Based KYC

KYC VERIFICATION CARRIED OUT BY

Identity Verification ☐ Done Date

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

Emp. Name

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

Emp. Code

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

Emp. Designation

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

Emp. Branch

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

(Employee Signature)

INSTITUTION DETAILS

Name : MSB E-TRADE SECURITIES LIMITED

Code : IN0534



[Institution Stamp]

A. OTHER DETAILS

- Gross Annual Income Details : Income Range per annum : ☐ Upto 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
OR
NetWorth : Amount Rs. as on (date)/...../.....
(Net worth should not be older than 1 year) (Compulsory for Non-Individuals)
- Occupation : ☐ Private Sector ☐ Public Sector ☐ Business ☐ Government Service ☐ Professional
(please tick any one and give brief details) ☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Others _____ Pl. Specify
- Nature of Business : ☐ Manufacturing ☐ Services ☐ Consultancy ☐ Others _____ Pl. 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 No.	Account Type	MICR Number	IFSC Code
			<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others..... In case of NRI: <input type="checkbox"/> NRE <input type="checkbox"/> NRO		

C. DEPOSITORY/REPOSITORY ACCOUNT(S) DETAILS

Depository / Repository Participant Name	Depository / Repository Name	Beneficiary Name	DP/RP ID	Beneficiary ID (BO ID)
MSB e-Trade Securities Ltd.	<input type="checkbox"/> CDSL		12070600	
	<input type="checkbox"/> CCRL		12070600	
	<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, BSE & MSEI			MCX, NCDEX, BSE & NSE
All Segments	Cash / Mutual Fund	F & O	Currency	Commodity Derivatives
 4a	 4a	 4b	 4c	 4d

If you do not wish to trade in any of segment/ 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/Authorised Person (AP), provide the following details:					
Sub-broker's/AP Name					
SEBI/AP Registration number					
Registered office address					
Ph.		Fax		Website	
Whether dealing with any other stock broker/sub-broker/AP (if case dealing with multiple stock brokers/sub-brokers, provide details of all)					
Name of stock broker					
Name of Sub-Broker/AP, if any					
Client Code				Exchange	
Details of disputes/dues pending from/to such stock broker/sub- broker/AP					

G. ADDITIONAL DETAILS

Whether you wish to receive Physical Contract note or Electronic Contract note (ECM) (Please Specify)	<input type="checkbox"/> Physical Contract Notes <input type="checkbox"/> Electronic Contract Note (ECN)
Whether you wish to receive Communication from Member in Electronic Form on your email id	<input type="checkbox"/> Yes <input type="checkbox"/> No (If yes, then please fill in Appendix A)
I/We wish to avail facility provided by the exchange	<input type="checkbox"/> SMS Alert <input type="checkbox"/> E-mail Alert <input type="checkbox"/> Both
In case of ECN/E-mail alert pl. specify your Email id	
In case of SMS alert, please specify you Mobile No.	
Whether you wish to avail of the facility of internet trading/ wireless technology (please specify)	
Number of years of Investment/Trading Experience	<input type="checkbox"/> No prior experience <input type="checkbox"/> _____ years in commodities <input type="checkbox"/> _____ years in other investment related fields
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. SALES TAX REGISTRATION DETAILS (AS APPLICABLE, STATEWISE)

Local Sales Tax State Registration No.		Validity Date	
Name of the State			
Central Sales Tax Registration No.		Validity Date	
Other Sales Tax State Regn. No.		Validity Date	
Name of the State			

I. GST REGISTRATION DETAILS (AS APPLICABLE, STATEWISE)




Local GST Registration No.		Validity Date	
Name of the State		State Code	
Other GST Registration No.		Validity Date	
Name of the State		State Code	

J. 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			

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, the tariff sheet and voluntary/non-mandatory documents.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s), 'Risk Disclosure Document' and 'Dos and Dont's', FATCA & CRS. 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.
4. I/We declare that MSB e-Trade Securities Ltd. the broker, have put me/us on notice/disclose that MSB e-Trade Securities Ltd. is engaged in not only client based trading but also in pro-account trading.

Name(s) of the Authorised Signatory	Signature of the Authorised Signatory
1.	 5
2.	
3.	

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, Guidance Note (Dos and Dont's). 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 **MSB e-Trade Securities 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/passbook/bankstatement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master & 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.

NOMINATION FORM - DEMAT/TRADING

**[Annexure A to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021
on Mandatory Nomination for Eligible Trading and Demat Accounts]**

MSB e-Trade Securities Limited (Depository Participant & Trading Member) A-17, U.G.F., Pushpanjali Enclave, Pitampura, Delhi-110034 Ph.: 011-47107777, E-mail :info@msbetrade.com SEBI Regn. No. IN-DP-261-2016 • DP ID : 12070600 • RP ID : 12070600												FORM FOR NOMINATION (To be filled in by individual applying singly or jointly)												
												Date	D	D	M	M	Y	Y	Y	Y				
DP ID	1	2	0	7	0	6	0	0	Client ID															
RP ID	1	2	0	7	0	6	0	0	Client ID															
I/We wish to make a nomination. <i>[As per details given below]</i>																								
Nomination Details																								
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all the assets held in my / our account in the event of my / our death.																								
Nomination can be made upto three nominees in the account.										Details of 1st Nominee					Details of 2nd Nominee					Details of 3rd Nominee				
1	Name of the nominee(s) (Mr./Ms.)																							
2	Share of each Nominee		Equally [If not equally, please specify percentage]							%					%					%				
<i>Any odd lot after division shall be transferred to the first nominee mentioned in the form.</i>																								
3	Relationship With the Applicant (If Any)																							
4	Address of Nominee(s)																							
										City / Place:														
										State & Country:														
										PIN CODE														
5	Mobile / Telephone No. of nominee(s)																							
6	Email ID of nominee(s)																							
7	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																							
Sr. Nos. 8-14 should be filled only if nominee(s) is minor :																								
8	Date of Birth {in case of minor nominee(s)}																							
9	Name of Guardian (Mr./Ms.) {in case of minor nominee(s) }																							
10	Address of Guardian(s)																							
11	Mobile / Telephone no. of Guardian																							
12	Email ID of Guardian																							
13	Relationship of Guardian with nominee																							

14	Nominee Identification details – [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature
Note:

- This nomination shall supersede any prior nomination made by the account holder(s), if any.
- The Trading Member / Depository Participant shall provide acknowledgement of the nomination form to the account holder(s)
(To be filled by DP)

Nomination Form accepted and registered wide Registration No. _____ Dated _____.

For MSB e-Trade Securities Ltd.

(Authorised Signatory)
Delhi

Declaration Form for opting out of nomination (Applicable If do not wish to appoint any nominee(s))
[Annexure B to SEBI circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on
Mandatory Nomination for Eligible Trading and Demat Accounts]

MSB e-Trade Securities Limited
(Depository Participant & Trading Member)
A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034
Ph.: 011-47107777, E-mail : info@msbetrade.com
SEBI Regn. No. IN-DP-261-2016 • DP ID : 12070600 • RP ID : 12070600




Date	D	D	M	M	Y	Y	Y	Y
DP ID	1	2	0	7	0	6	0	0
Client ID								
RP ID								
Client ID								
UCC								

Sole/First Holder Name

Second Holder Name

Third Holder Name

I / We hereby confirm that I / We do not wish to appoint any nominee(s) in my / our trading / demat account and understand the issues involved in non-appointment of nominee(s) and further are aware that in case of death of all the account holder(s), my / our legal heirs would need to submit all the requisite documents / information for claiming of assets held in my / our trading / demat account, which may also include documents issued by Court or other such competent authority, based on the value of assets held in the trading / demat account.

Name(s) of holder(s)		Signature(s) of holder*
Sole / First Holder (Mr./Ms.)		
Second Holder (Mr./Ms.)		
Third Holder (Mr./Ms.)		

* Signature of witness, along with name and address are required, if the account holder affixes thumb impression, instead of signature

POLICIES AND PROCEDURES

As per SEBI Circular No. MIRSD/SE/Cir-19/2009 Dated 3rd December, 2009

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.

- a. For Non-Payment or erosion of margins or other amounts, outstanding debts, etc. & adjust the proceeds of such liquidation/ close out if any, against the client's liabilities/ obligations.
- b. Any order which is executed without the required margin in the client's account or the broker's exposure is more than 90% and above so no fresh trade will be taken.
- c. The client hereby authorizes the stock broker to square up all his outstanding positions at the discretion of the stock broker, which are not marked for delivery, 15 minutes before the closing time of the normal market or if the client's margin is evaporated by 90% in any of the exchange(s), MSB e-Trade reserves the right to square off positions.
- d. Under certain market conditions, it may be difficult or impossible to liquidate a position in the market at a reasonable price or at all, when there are no outstanding orders either on the buy side or the sell side, or if trading is halted in a security due to any action on account of unusual trading activity or stock hitting circuit filters or any other reason as prescribed or instructed by SEBI.

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. 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.

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 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 would not exceed Rs.100/- (per lot) single side or such other rates as provided by the exchange(s)/SEBI.

c. **For Derivatives contracts:** Brokerage for derivatives contracts would not exceed 2.5%/- (per lot) single side or such other rates as provided by the exchange(s)/SEBI.

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

Clients will be liable to pay late pay in/delayed payment charges for not making payment of their paying/margin obligation on time as per the exchange requirement/schedule at the rate of 2% per month. The client agree that the Stock broker may impose fine and penalties for the order/ trades/deals/actions of the clients which is contrary to these 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/inrelation 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 payin 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(i.e.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 pay-in 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 with hold 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 any one 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+2 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. In case, the shares are not purchased from the market for whatsoever reason, the seller account shall be debited by the closing price of shares on the date of the auction plus 2% over and above the closing price or minimum 50 paise per shares on the date the auction for the settlement whichever is higher.

c. Incases 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. Temporarily suspending or closing a client's account at the client's request

- i. The client may request the stock broker to temporarily suspend his account, stock broker may do so subject to client accepting / adhering to conditions imposed by stock broker including but not limited to settlement of account and/ or other obligation.
- ii. The stock broker can with hold the payouts of client and suspend his trading account due to his surveillance action or judicial or / and regulatory order/action requiring client suspension.

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 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 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.

For and On Behalf of Constituent

9. Inactive Client Account

Client who has not traded, even as single trade not done for a period of 1 years will be considered as inactive and will automatically be moved to the "inactive" category. All the fund/securities of the client are transferred into the last known bank/demat account of the client. In case the demat account/ bank account details are not available or/and the client is not contactable, the securities/funds are transferred into a separate account of MSB e-Trade and held till such time MSB e-Trade hears from the client or their representatives. To reactivate the account, the client is expected to write to the TM requesting for activation of the account, based on which the account would be activated after due diligence by the TM.

Client Acceptance of Policies and Procedures stated here in above:

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 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. 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.

 7

Client Signature

Name: _____

POLICY FOR VOLUNTARY FREEZING OF ONLINE ACCESS OF CLIENT'S TRADING ACCOUNT

1. Introduction

This is with reference SEBI vide its circular SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024 and Exchanges vide their circulars dated April 08, 2024 on the subject "Ease of Doing Investments by investors - facility of voluntary freezing/blocking the online access to the clients on account of suspicious activities.

2. Purpose

The policy aims to guide MSB e-Trade clients on the process, modes, time lines, and other details for facilitating the voluntary freezing of their trading accounts to avoid any suspicious activity.

3. Scope and Applicability

This policy shall be applicable as and when clients intend to voluntary freeze / block online access to their trading account and subsequently desires to unfreeze the same. This policy is the part of Risk Management Policy. This policy shall also form a part of the account opening kit for all new clients on boarded with effect from July 01, 2024.

4. Process & Procedure by the client to Voluntary freezing of online access of client's trading account

a. Request for freezing

Through the Website

Client may request for voluntary freezing / blocking the online access to their trading account through the website www.msbetrade.com, the client must enter all following details Displays on the Page and submit the request:-

- Client Code/ UCC Code no.
- Client Name
- E-mail id
- Mobile no. (Registered)

Request for freezing - Through Dedicated Email

Client may request by Dedicated Mail id -

"stoptrade@msbetrade.co.in" with the following details

- Subject of the Email "Request to freezing / blocking the online access to their trading account."
- Mail Text atleast "Request to freezing / blocking the online access to their trading account."
- Client Code/ UCC Code no.
- Client Name
- E-mail id
- Mobile no. (Registered)

The client shall submit request for freeze.

b. Request for Un-freezing

Through the Website

Client may request for unfreezing / unblocking the online access to their trading account through the website www.msbetrade.com, the client must enter all following details Displays on the Page and submit the request:-

- Client Code/ UCC Code no.
- Client Name
- E-mail id
- Mobile no. (Registered)

Through Dedicated Email

Client may request by Dedicated Mail id -

"kychelp@msbetrade.com" with the following details

- Subject of the Email "Request to unfreezing / unblocking the online access to their trading account."
- Mail Text atleast "Request to unfreezing / unblocking the

online access to their trading account."

- Client Code/ UCC Code no.
- Client Name
- E-mail id
- Mobile no. (Registered)

5. Process & Procedure by the MSB e-Trade to Voluntary freezing/blocking & unfreezing/unblocking of online access of client's trading account

On receipt of such request, the online access of the client's trading account shall be voluntary freezed/blocked & unfreezed/unblocked by the backend team within the stipulated time frame i.w. within 15 minutes (for freezed/blocked)

6. Important Points to Note:

- It is advised that the client closed all his open positions before giving the request for freezing the account.
- Client's account will be blocked, within 15 minutes of receiving the freeze request.
- Confirmation of the freeze of the account will be sent via email and SMS, including process to unfreeze the account.
- All pending orders, whether placed online or offline by the client, will be cancelled by the system and trading access will be blocked.
- Clients will receive details of any open positions along with contract expiry information within an hour of freezing the account.
- Upon freezing, the client will be logged out of the app but can log in for exploratory purposes without the ability to place trades. • Fund addition and withdrawal will be allowed.
- In case client MTM is 80% or above, all the open positions will be auto squared off as per risk management policy of MSB e-Trade
- In case of margin shortage, client position will be auto squared off to the extent of margin shortage.
- If client's account has a negative balance, their investments will be sold to cover the amount owed.
- Any open position under Intraday product will be auto squared off by the system as per the Intraday product policy.
- Simultaneously all the pending orders including 'Good till date' and Equity, F&O, CD, Commodity orders shall be cancelled.

7. Policy Review:

The said policy shall be a part of MSBETRADE's Risk Management Policy and shall be reviewed along with the said policy on a half yearly basis.

8. Circular references:

- SEBI/HO/MIRSD/POD-1/P/CIR/2024/4 dated January 12, 2024
- NSE/INSP/61529 dated April 08, 2024
- BSE notice 20240408-12 dated 08 Apr 2024
- MCX/INSP/218/2024 dated April 09, 2024
- NCDEX/COMPLIANCE-025/2024 dated April 09, 2024

 7a

Client Signature

Name: _____

TARIFF SHEET (BROKERAGE & STATUTORY CHARGES)

CASH SEGMENT

Brokerage Slab	Slab%	Minimum Paise	Min. Per Transaction
Delivery Based			
Daily Square up (Intra Day)			
Illiquid Shares			

CASH SEGMENT

Brokerage Slab	Slab%	Minimum Paise	Min. Per Transaction
Delivery Based			
Daily Square up (Intra Day)			
Z Group Transaction			

DERIVATIVES

Brokerage Slab	Slab%	Minimum Paise	Min. Per Lot
Intra Day			
Future Carry Forward			
Option Carry Forward			

DERIVATIVES (CURRENCY)

Brokerage Slab	Slab%	Minimum Paise	Min. Per Lot
Intra Day			
Future Carry Forward			
Option Carry Forward			

COMMODITY DERIVATIVES (FUTURE & OPTION)

Brokerage Slab	Slab%	Minimum Paise	Min. Per Lot
Intra Day			
Future Carry Forward			
Option Carry Forward			

1. All charges (namely; Exchange Transaction Charges, Clearing Member Charges, Sebi Fee etc.) and Statutory Taxes (namely; GST, Securities Transaction Tax, Commodities Transaction Tax, Stamp Duty etc.) shall be charged as per rates applicable from time to time in addition to brokerage.
2. In case of online trading terminals provided to the client, the software charges (based on monthly rent or based on % of turnover) shall be charged extra.
3. Debit of DP Charges for the services of Demat A/c with MSB e-Trade Securities Ltd. from my trading A/c as per bill of DP.
4. Charges mentioned above are in respect of services mentioned above only and charges for any service provided to client other than those listed above shall be charged extra.
5. Late payment penalty @ 2%p.m. calculated on daily overdue balance shall be charged till actual realisation.
6. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
7. In case of Duplicate copy of physical contract note are being dispatched to client, a difference of Rs. 25/- in total brokerage booked on a particular date would be charged towards minimum processing fee.

8

Client Signature

DISCLOSURE REGARDING PROPRIETARY TRADING

To, Date: _____
Client Code: _____ **Client Name:** _____

SUBJECT : DISCLOSURE REGARDING PROPRIETARY TRADING

As required under Circular No. SEBI / MRD / SE / Cir-42 / 2003 dated 19.11.2003 issued by the Securities and Exchange Board of India; we hereby disclose that in addition to client-based business, we are also doing proprietary trading.

☐ I/we acknowledge the above information.

For MSB e-Trade Securities Ltd.

9

Client Signature

Authorised Signatory

Annexure A
Most Important Terms and Conditions (MITC)
(For non-custodial settled trading accounts)

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

 9a

Client Signature

VOLUNTARY DOCUMENTS PART -B

To,
MSB e-Trade Securities Limited
 A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Dear Sir,

I _____ a client with member M/S. MSB e-Trade Securities Limited of Exchange undertakes as follows:

- I am aware that the member has to provide physical contract note in respect of all the trades placed by me unless I myself want the same in the electronic form.
- I am aware that the member has to provide electronic contract note for my convenience on my request only.
- Though the member is required to deliver physical contract note, I find that it is inconvenient for me to receive physical contract notes. Therefore, I am voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out/ordered by me.
- I have access to a computer and am a regular internet user, having sufficient knowledge of handling the email operation.
- My email id is* _____. This has been created by me and not by someone else.
- I am aware that this declaration form should be in English or in any other Indian language known to me.
- I am aware that non-receipt of bounced mail notification by the member shall amount to delivery of the contract note at the above e-mail ID.

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.

*(The email id must be written in own handwriting of the client)

Client Name: _____

Unique Client Code: _____

PAN: _____

Address: _____

Signature of Client
 (with rubber stamp)

 10

Date :

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

Place : _____

**Verification of the client signature done by,
 Name of the designated officer of the Member:**

Signature:  **Date:** ____/____/____

AUTHORISATION FOR RUNNING ACCOUNT

To,
MSB e-Trade Securities Limited

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Dear Sir,

I/We are dealing through you as a client in Capital Market and/or Future & Option segment and/or Currency segment and/or Commodity segment and/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 and authorise you to maintain running account(s) for me/us and from time to time debit funds from running accounts and make pay-in of funds to exchanges/clearing corporations/other receiving party(ies) to settle my/our trades/dealings. Similarly, where I/we have to receive funds in settlement of trades/dealings please keep the monies with you and make credit entries for the same in running accounts of funds maintained by you. Further, the funds can be transferred from one segment to other and from one exchange to another as per the requirements.
2. 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 margin obligations calculated in the manner specified by the exchanges.
3. I/We request you to retain funds lying to my/our credit in running accounts as margin/collateral/pay- in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing Corporation unless I/We instruct you to transfer the same to my/our account.
4. The stock broker is authorize to transfer funds & from his/her/its 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.
5. I/We request you to settle my fund ☐ Once in every calendar Quarter or ☐ Once in a calendar Month or such other higher period as allowed by SEBI/Stock Exchange time to time except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt
6. I/We confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 30 working days from the date of receipt of funds/securities/commodities or statement of account or statement related to it, as the case may be at your registered office.

The running account authorization provided by me shall continue and remain valid until it is revoked by me any time in writing.

Thanking you

Yours Faithfully

Signature  11

Client Name

Date :

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

Client Code

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

CKYC Download/retrieve Consent

To
MSB e-Trade Securities Limited
A-17, Pushpanjali Enclave, Pitampura, Delhi-110034

Subject: CKYC Download/retrieve Consent

Sir,
I/We _____ submitting my/our application / form to opening of Trading account / Demat Account / KRA / CKYC (New or Modification) through physical form or eKYC.

I/We hereby give my/our an explicit consent to download / retrieve the KYC records or information or any other additional identifications documents or details from CKYCR. (Central KYC Records Registry).

Kindly accept my/our consent and do the needful.

Thanks & Regards

 11a

Signature of Sole/First Holder

Name:



Signature of Second Holder

Name:



Signature of Third Holder

Name:

AUTHORISATION/DECLARATION FOR ELECTRONIC MODE/ECN/SMS ALERTS / E-MAIL ID / MOBILE No.

To,

MSB e-Trade Securities Limited

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Dear Sir,

I/We have been/shall be dealing through you as my/our broker on the Capital Market and/or Futures & Options Segments/Currency Derivative Segments/Commodity Segment, Mutual Fund. This instruction is applicable for all the exchanges/segments in which I/we have opened account with you. As my/our broker i.e. agent I/We direct and authorize you to carry out trading/dealing on my/our behalf as per instructions given below.

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. I/We here by also give my/our consent for providing me/us Trade Confirmations through your SMS alert services. Accordingly, please note my current email id and Mobile Number on your record for sending the communication to me/us.

I/We here by request you to send all your communications pertaining to my/our Demat transaction/trade like Trade Confirmations, Contract Notes, MTM Obligation, Margin Calls, Demat Transactions alert, or any other communication (which is necessary from your Compliance point of view) including the verification call from MSB e-Trade Securities Limited etc. on the below mentioned Mobile number/Email id.

E mail Id: _____

Mobile No.: _____

The mobile number mentioned here belongs to name of relative _____

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative

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

The email ID mentioned here belongs to name of relative _____

☐ Self ☐ Spouse ☐ Dependent parent ☐ Dependent children PAN of relative

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I/We am/are also aware that the Exchanges have been pursuing a process of confirming the trade details directly to the Clients via SMS And Email alerts which they have carried out through their respective Trading Member. Accordingly, I/We accord my/our consent to receive those SMS as well as Emails alerts directly from the Exchanges on the above stated contact details for the purpose. I/We here by authorize you for sharing the said contact details with Exchanges.

I/We agree not to hold you responsible for late/non-receipt of contract notes sent in electronic form and any other communication for any reason including but not limited to failure of email servers, loss of connectivity, email in transit etc. I/we agree that the log reports of your dispatching software shall be a conclusive proof of dispatch of contract notes 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 you shall amount to delivery at my/our email account(s) / email id(s).

I/We understand that SMS Alert service is purely a voluntary facility provided by you to us and it shall be my/our responsibility to check the data with the actual contract notes/financial ledger given by you. The messages flashed shall be merely reminders for my/our convenience and I/We agree not to hold you liable for any incompleteness/inaccuracies in the messages sent and that I/We shall take all our actions based on the normal confirmations received by me/us.

In case, in any of the above segments/exchanges due to any reason, what soever, if you want to send contract notes in physical form, I/we here by permit you to send the same in physical mode.

I/We understand that I am required to intimate any change in the email id/mobile number mentioned here in above through a duly signed request letter in original to you, provided however that if I/we am/are an internet client then in that event there quest for change in email id/ email account can be made by me/us through a secured access using client specific user id and password. Please treat this authorization as written ratification of my/our verbal directions/authorizations given and carried out by you earlier. I/We shall be liable for all losses, damages and actions which may arise as a consequence of your adhering to and carrying out my/our directions given above.

Thanking you

Yours Faithfully

Signature  _____

Client Name _____

Date :

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

Client Code _____

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

LETTER OF AUTHORITY

To,

MSB e-Trade Securities Limited

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Sub: Letter of Authority Cash/F&O/Currency Derivative/ Commodity Segment / Mutual Fund Segment of the Exchange

I/we dealing with you as client at NSE/BSE/MSEI/ICEX/MCX/NCDEX in cash, Derivative, Currency Derivative & Commodity Segment and in order to facilitate ease of operations, I/We authorise you as under:

1. I/We authorise you to set off outstanding in any of my/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 transactions in any segment of the Exchange or in any other exchange and/or against the value of cash margin or collateral shares provided to you by me/us.
2. I/We here by authorise 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 issued by you.
3. I/We here by authorise you to keep all the securities which I/We have pledged in your favor for meeting margin obligation in any of the stock exchanges which may include pledging of shares via execute the 'Margin Pledge' and/or 'Re-Pledge' and/or 'Unpledge' in favour of MSB e-Trade Securities Ltd. (Trading Member), clearing corporation, clearing member or meeting margin obligation on my/our behalf or for pledging the same as margin to the any of the Stock Exchanges or otherwise.
4. I/We request you to retain credit balance in any of my/our account and to use the unused funds towards my/our margin/future obligation at any or both the Exchanges unless settlement of my/our account as per the guidelines recommended by SEBI/Exchanges from time to time.
5. 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 telephonic unless instructed otherwise in writing. I/We am/are getting required details from contract note issued by you.
6. We request that you may send/dispatch us contract notes/other documents through e-mail on my/our designated e-mail address. I/We will completely rely on the log reports of you dispatching software as a conclusive proof of dispatch of e-mail to me/us and will not dispute don the same.
7. I/We will inform you the change of my/our email:ID, if any, in future either by regd. Post or through a digitally signed e-mail.
8. I/We are aware and acknowledge that trading of all exchanges is in Electronic mode, based on Vsat, lease line, ISDN, Modem, VPN, Internet and/or combination of technologies and computer system to place and route order and also involves many uncertain factors and complex hardware, software, systems, communication lines, peripherals, pay in payout of funds & securities, online & offline banking etc. these are susceptible to interruptions, delay, mistake and dislocations; and your services may at any time be unavailable without further notice and I/we understand that there exists a possibility of communication failure or system problems or slow or delay response from system or trading half, or any such other problem/glitch whereby not been able to establish access to the trading system/network or delay in execution of trades, which may be beyond your control any may result in delay in processing or not processing of any orders either in part or in full. I understand that you are not making any representation or warranty that your service will be available to the Client at all times without any interruption. I/We agree that I/We shall not have any claim for any loss incurred by me/us against you on account of any suspension, delay, interruption, non-availability or mal functioning of your System or Service for any reason whatsoever.
9. I/We confirm that I/We never sublet the trading terminal on any term of connectivity from my place to any other place without your prior approval.
10. I/We am/are agreeable for inter-settlement transfer of securities/commodities towards settlement.
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 charges/Bank charges levied up on you due to my acts/deeds or transaction may be recovered by you from my account.
13. I have a Trading As well as depository relationship with MSB e-Trade Securities Ltd. Please debit the charges relevant with depository services from my trading account on daily/monthly basis. I also agree to maintain the adequate balance in my trading account/pay adequate advance fee for the said reason.

Thanking you

Yours Faithfully

Signature

 13

Client Name

Date :

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

Client Code

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

DECLARATION OF HUF (To be filled in case of HUF A/c Only)

MSB e-Trade Securities Limited

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Dear Sir/Madam,

- Whereas the Hindu Undivided Family of is carrying on business in the firm name and style of at as given in PAN card of HUF or we intent to deal have or desire to have Trading/Demat Account with MSB e-Trade Securities Ltd. (hereinafter referred as Member). We undersigned, hereby confirm and declare that we are the present adult coparceners of the said joint family. Name of Karta & Co-parceners are given in below table.
- We confirm that affairs of HUF firm are carried on mainly by the Karta on behalf and in the interest and for the benefits of all the co-parceners. We hereby authorize the Karta on behalf of the HUF to deal with the member and the said trading member is hereby authorized to honour all instructions oral or written, given by him on behalf of the HUF. He is authorized to sell, purchase, transfer, endorse, negotiate documents and/or otherwise deal through the member on behalf of the HUF.
- He is also authorize to sign execute and submit such applications, undertakings, agreements and other requisite documents, writings and deeds as may be deemed necessary or expedient to open account and give effect to this purpose. We are, however, jointly and severally responsible for all liabilities of the said HUF firm shall be recoverable from the assets of any one or all of us and also from the estate of the said joint family including the interest thereon of every co-parceners of the said joint family, including the share of the minor co parceners, if any.
- We undertake to advise the member in writing of any change that may occur in the Karta ship or in the constitution of the said joint family or of the said HUF firm and until receipt of such notice by the member who shall be binding on the said joint family and the said HUF firm and on our respective estates. We shall, however continue to be liable jointly and severally to the member for all dues obligations f the said HUF firm in the Member's book on the date of the receipt of such notice by the member and until all such dues and obligations shall have been liquidated and discharged.
- The names and dates of the birth of all the present minor & major co-parceners of the said joint family are given below. We also undertake to inform you in writing as and when each of the said members attains the majority and is authorized to act on behalf of, and bind the said HUF

Name of Signature of Adult Co-Partionors of HUF (Use Annexure of additional Members)						
Sr. No.	Name of Co-partionors of HUF	Gender (M/F)	Relationship with Karta	Date of Birth	PAN No.	Signature
1.						
2.						
3.						
4.						

Name of Minor Co-Partionors of HUF (Use Annexure of additional Members)				
Sr. No.	Name of Co-partionors of HUF	Gender (M/F)	Relationship with Karta	Date of Birth
1.				
2.				
3.				
4.				

Note: In case of adult family member provide copy of PAN card or any other ID proof (DL/Voter ID/ Passport). In case of Minor Family Member provide copy of age certificate (Birth Certificate/School Leaving Certificate).

 14

Signature of Karta (with Rubber Stamp)

DECLARATION FOR NAME MISMATCH

I hereby declare that

1. My name mentioned in PAN Card is _____
2. In additional I D Proof i.e. Voter Id / Passport / Driving License it is _____
3. In BankA/c No. _____ it is _____
4. In _____ is this _____

Further I declare that the names mentioned in above details document pertains to me, therefore I request my account and make all payouts in the same name as mentioned in my bank proof.

Thanks

Signature 15

Client Name

Date

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

Client Code

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

CLIENT DEFAULTER DECLARATION

_____ having PAN No. _____ do hereby declare that I have not been involved in any terrorist activity and I have not been declared as defaulter or my name is not appearing in defaulter database as per SEBI/Various Exchanges/Regulatory bodies/CIBIL(Credit Information Bureau of India Ltd.) etc.

I further declare that the above mentioned declaration/statement is true and correct.

Thanks

Signature 16

Client Name

Date

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

Client Code

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]

STATEMENT OF ACCOUNT RECEIVING IN ELECTRONIC MODE

To,

MSB e-Trade Securities Limited

A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

I/We had entered into DP-BO agreement/Trading A/c with you. I/We confirm having opted to receive the statement of accounts pertaining to our BO account in electronic mode in lieu of physical copy of the statement of account.

I/We confirm that the dispatch of statement of account to me/us shall constitute full and absolute discharge of your obligation under the above agreement to provide me/us with statement of my/our BO account. But, we reserve my/our right to receive the physical copy of statement of accounts despite receiving the same in electronic mode on the given Email Id as per KYC, if such a demand is made in writing on you.


I/We confirm that any change in the aforesaid email address or any other instructions with regard to dispatch/service of my/our statement of account on me/us shall not be binding upon you unless you are intimated in writing by me/us by acknowledged delivery.

Yours faithfully,

Signatures

(17) 

(17) 

(17) 

First Holder Signature

Second Holder Signature

Third Holder Signature

Name

First Holder

Second Holder

Third Holder

NRI UNDERTAKING FOR TRADING WITH MSBE-TRADE SECURITIES LIMITED

Dated: _____

Mr./Ms. _____ aged _____

S/D/W of _____ residing at _____

1. That my Passport No. is _____ which is valid upto _____
2. I confirm that I am a Non-Resident Indian residing at _____ (City/
Country of stay) and citizen of _____ (Name of Country) for
the purpose of Foreign Exchange Regulation Act 1973/Foreign Exchange Management Act 2000 and shall
immediately inform you in the event of any change in my address, citizenship and/or residency or other status.
3. Whereas I have registered with M/s MSB e-Trade Securities Limited, as an NRI client as per the agreement executed
on _____ to be able to trade on the Indian Stock Exchanges.
4. Whereas the Securities and Exchange Board of India (SEBI) and the Reserve Bank of India (RBI) have promulgated
special rules and regulation applicable to NRIs who trade on Indian Stock Exchanges. I hereby agree and undertake
the following
5. I Understand and agree to abide by the SEBI/RBI rule that prohibits me from short-selling securities and netting of
trades.
6. I Understand and agree to abide by RBI regulation which requires that my PIS bank account be fully pre-funded. I
undertake to always ensure that my PIS bank account tied to my trading account will have clear credit balance to
cover the combined value of the stock/s to be purchased brokerage and all applicable statutory charges before
executing trades.
7. I Undertake to abide by all other rules applicable to my trading in the Indian stock exchanges as an NRI, either existing
or enjoined at a later date.
8. In the event of my committing a breach of any of the above described regulations, MSB e-Trade shall be at liberty to
deactivate my trading account and I shall not raise any claim or dispute against MSB e-Trade Service Limited for the
said action.

Signature

 18

Client Name

Date

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

Client Code

[Note: To be signed by person himself/herself not to be signed by his/her attorney/authorized person etc.]



FATCA & CRS Declaration - Individual

PAN Trading Code DP Code

Name

Place of Birth Country of Birth

Nationality

Annual Income ☐ Below Rs. 1 Lac ☐ Rs. 1 Lac to 5 Lac ☐ Rs. 5 Lac to 10 Lac
☐ Rs. 10 Lac to 25 Lac ☐ Rs. 25 Lac to 1 Crore ☐ >1 Crore

Net Worth Amount Rs..... Net Worth as on
(Net worth should not be older than 1 year)

Occupational Detail ☐ Business ☐ Private Sector ☐ Professional ☐ Government Service ☐ Public Sector
☐ Agriculturist ☐ Housewife ☐ Student ☐ Retired ☐ Forex Dealer ☐ Others Pl. Specify

Politically Exposed Person (PEP) ☐ Related to Politically Exposed Person (RPEP) ☐

Are you a tax resident of any country other than India ☐ Yes ☐ No

If yes please indicate the all countries in which you are resident for tax purpose and the associated Tax ID number below.

Sr. No.	Country	Tax Identification Number	Identification Type (TIN or Other, please specify)
1.			
2.			
3.			

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 MSB e-Trade Securities Limited 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).

Sign here

Date :

Place :

For Investor convenience, MSB e-Trade Securities Limited collecting this mandatory information for updating across all Group Companies of MSB e-Trade Securities Limited 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 MSB e-Trade Securities Limited branch or you can dispatch the hard copy to-

MSB e-Trade Securities Limited

A-17, Upper Ground Floor Pushpanjali Enclave, Pitampura, Delhi-110034

Ph.: 011-47107777, Fax : 011-47107731

• For Detail Terms & Conditions please visit www.msbetrade.com



Name | | | | | | | | | | | | | | | | | | | | | |

(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)

In case TIN or its functional equivalent is not available, please provide Company Identification number or Global Entity Identification Number or GIIN, etc.

In case the Entity's Country of Incorporation / Taxresidence is U.S. but Entity is not a Specified U.S. Person, mention Entity's exemption code here

Owner-documented FFI's should provide FFI Owner Reporting Statement and Auditor's Letter with required details as mentioned in Form W8 BEN E (Refer 3(vi) of Part C)

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 (%) [§]			

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

[§] 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.


[§] In case Tax Identification Number is not available, kindly provide functional equivalent

[§] 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 MSB e-Trade Securities Limited 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).

Name	
Designation	
Sign here :  19	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"/>
	Place :

For Investor convenience, MSB e-Trade Securities Limited collecting this mandatory information for updating across all Group Companies of MSB e-Trade Securities Limited 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 MSB e-Trade Securities Limited branch or you can dispatch the hard copy to-

MSB e-Trade Securities Limited
C-603, Saraswati Vihar, Pitampura, Delhi-110034
Ph.: 011-47107777, Fax: 011-47107731

• For Detail Terms & Conditions please visit www.msbetrade.com



DEMAT ACCOUNT OPENING FORM



MSB e-Trade Securities Ltd.

Depository Participant : CDSL

DP ID : 12070600 • SEBI Regn. No.: IN-DP-261-2016

E-mail id for investor grievances of DP : dpgrievances@msbetrade.com

Client Name :

Client ID : **12070600**

INDEX OF DOCUMENTS

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ACKNOWLEDGEMENT RECEIPT

Application No.:

Date

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

I/We here by acknowledge the receipt of the Account Opening Application, Rights & Obligations, Option Form for Issue/Non Issue DIS Booklet form.

DP ID	1	2	0	7	0	6	0	0	Client-ID							
Name of the Sole/First Holder																
Name of Second Holder																
Name of Third Holder																

REGISTRATION FEE DETAILS

Cheque No.		Bank Name	
Branch & City			
Place		Amount	

Depository Participant Seal & Signature






ACKNOWLEDGEMENT RECEIPT

Application No.:

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

I/We have received and read the Rights and Obligations, Option form for issue of DIS booklet, document of BO-DP (DP-CM agreement for BSE, NSE, MSEI, ICEX, NCDEX, MCX Clearing Member Accounts) including the schedules thereto and the 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/Guardian (Mr./Ms.) (in case of Minor) / Authorised Signatory	Second Holder / Authorised Signatory	Third Holder / Authorised Signatory
Name			
Designation			
Signatures	 20		

(Signatures should be preferably in black ink)



MSB e-Trade Securities Ltd.

SEBI REGN. NO. : IN-DP-261-2016 • DP ID 12070600

Regd. & Com. Office : A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Ph. : 011-47107777 • Fax : 011-47107731

Email ID : dp@msbetrade.com & info@msbetrade.com Website : www.msbetrade.com



CDSL
Your Depository
ISO 27001 Certified

ADDITIONAL KYC FORM FOR OPENING A DEMAT ACCOUNT FOR INDIVIDUALS & NON-INDIVIDUALS

(To be filled by the Depository Participant)

Application No.											Date	D	D	M	M	Y	Y	Y	Y
DP Internal Reference No.																			
DP ID	1	2	0	7	0	6	0	0	Client ID										

(To be filled by the applicant in BLOCK LETTERS in English)

I/We request you to open a demat account in my/our name as per following details :

HOLDERS DETAILS

Sole/First Holder's Name											PAN								
UID											Date of Birth	D	D	M	M	Y	Y	Y	Y
UCC (Trading Code)			Exchange ID	BSE (11)	NSE (12)	MSEIL (29)	MCX	NCDEX	ICEX										
			CM ID	6395	M51401	21000	-	-	-										
			TM ID	6395	12788	21000	29905	00732	2062										
Second Holder's Name											PAN								
UID											Date of Birth	D	D	M	M	Y	Y	Y	Y
Third Holder's Name											PAN								
UID											Date of Birth	D	D	M	M	Y	Y	Y	Y

Name*											PAN								
<p>* 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.</p>																			

TYPE OF ACCOUNT (Please tick whichever is applicable)

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

Status										Sub-Status (To be filled by the DP)									
<input type="checkbox"/> Body Corporate <input type="checkbox"/> CM <input type="checkbox"/> Banks <input type="checkbox"/> FI <input type="checkbox"/> Trust <input type="checkbox"/> Clearing House <input type="checkbox"/> Mutual Fund <input type="checkbox"/> CUSA <input type="checkbox"/> OCB <input type="checkbox"/> Other (Specify) _____																			
SEBI Registration No. (if applicable)											SEBI Registration Date	D	D	M	M	Y	Y	Y	Y
RBI Registration No. (if applicable)											RBI Approval Date	D	D	M	M	Y	Y	Y	Y
ROC Registration No. (if applicable)											ROC Registration Date	D	D	M	M	Y	Y	Y	Y
Nationality	<input type="checkbox"/> Indian <input type="checkbox"/> Others (specify) _____																		

DETAIL OF GUARDIAN (in case the account holder is minor)

Guardian's Name											PAN													
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 other 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 email Id given on KYC Page & Provide on your official website															<input type="checkbox"/> Yes <input type="checkbox"/> No									
I/We wish to receive dividend/interest directly in my/our bank account given 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									
I would like to share the email ID with the RTA															<input type="checkbox"/> Yes <input type="checkbox"/> No									
I would like to receive the Annual Report (Tick the applicable box. If not market the default option would be in Physical)										<input type="checkbox"/> Physical					<input type="checkbox"/> Electronic					<input type="checkbox"/> Both Physical & Electronic				
Rajiv Gandhi Equity Savings Scheme (RGESS)															<input type="checkbox"/> Yes <input type="checkbox"/> No									
CAS Mode (Consolidated Account Statement)	<input type="checkbox"/> No (CAS not required) <input type="checkbox"/> PH (Physical CAS required) <input type="checkbox"/> EC (Electronic)																							
Mental Disability Flag															<input type="checkbox"/> Yes <input type="checkbox"/> No									

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"/> Cash Credit <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others (specify)_____																					
Bank Name																						
Branch Name																						
Bank Branch Address																						
City						State						Country						PIN				

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

OTHER DETAILS

Gross Annual Income Details (please specify) :		Income Range per annum :	<input type="checkbox"/> Upto Rs. 1 Lac <input type="checkbox"/> Rs. 1 Lac to 5 Lac <input type="checkbox"/> Rs. 5 Lac to 10 Lac <input type="checkbox"/> Rs. 10 Lac to 25 Lac <input type="checkbox"/> Rs. 25 Lacs to 1 Crore <input type="checkbox"/> More than 1 Crore									
Net Worth (Net worth should not be older than 1 year) Amount Rs.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"/>												
Occupation (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government 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"/> Others_____ Please Specify											
Please tick, if applicable		<input type="checkbox"/> Politically Exposed Person (PEP)					<input type="checkbox"/> Related to Politically Exposed Person (RPEP)					
Is the entity involved/providing any of the following services :												
- For Foreign Exchange / Money Changer Services : <input type="checkbox"/> Yes <input type="checkbox"/> No												
- Gaming/Gambling/Lottery Services (e.g. casinos, betting syndicates) : <input type="checkbox"/> Yes <input type="checkbox"/> No												
- Money Lending / Pawning : <input type="checkbox"/> Yes <input type="checkbox"/> No												
Any Other Information												

IN CASE OF NRIs/FOREIGN NATIONALS

RBI Approval Reference Number											RBI Approval 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"/>
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CLEARING MEMBER DETAILS (To be filled by CMs only)

Name of Stock Exchange			
Name of CC / CH			
Clearing Member ID		Trading Member ID	

SMS Alert Facility Refer to Terms & Conditions given as Annexure 2.4	MOBILE No.: + 9 1 <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="checkbox"/> Yes <input type="checkbox"/> No	
	[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).		
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 wish to register the following clearing member IDs under my/our below mentioned BO ID registered for TRUST.		

S.No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
1.	(11) BSE Limited	MSB e-Trade Securities Limited	6395
2.	(12) National Stock Exchange	MSB e-Trade Securities Limited	M51401
3.	(29) Metropolitan Stock Exchange	MSB e-Trade Securities Limited	21000

Easi	To register for easi , please visit our website www.cdslindia.com . easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/> Yes <input type="checkbox"/> No
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The mobile number mentioned here belongs to name of relative _____

☐ Self
☐ Spouse
☐ Dependent parent
☐ Dependent children
PAN of relative

The email ID mentioned here belongs to name of relative _____




☐ Self
☐ Spouse
☐ Dependent parent
☐ Dependent children
PAN of relative

FATCA DETAILS

Do you have any non-indian Country(ies) of Birth /Citizenship / Nationally and Tax Residency? <input type="checkbox"/> Yes <input type="checkbox"/> No			
	Sole/First Holder/Guardian <input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder <input type="checkbox"/> Yes <input type="checkbox"/> No	Third Holder <input type="checkbox"/> Yes <input type="checkbox"/> No
Country of Birth			
Country of Citizenship/Nationality			
Are you a US Specified Person?	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id	<input type="checkbox"/> Yes <input type="checkbox"/> No Please provide Tax Payer Id
Taxpayer identification no.			
Country of Tax Residency* (Other then India)	1 2	1 2	1 2

*Please indicate all countries in which you are a resident for tax purpose and associated Taxpayer identification number.

I/We confirm that I/We have received and read the copy of Rights & Obligations document and terms & conditions, the rules and regulation of the FACTA & CRS 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			
Signatures			

(Signatures should be preferably in blue ink)

RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS PRESCRIBED BY SEBI & DEPOSITORIES

General Clause

1. The Beneficial Owner and the Depository participant (DP) shall be bound by the provisions of the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996, Rules and Regulations of Securities and Exchange Board of India (SEBI), Circulars/Notifications/Guidelines issued there under, Bye Laws and Business Rules/Operating Instructions issued by the Depositories and relevant notifications of Government Authorities as may be in force from time to time.
2. The DP shall open/activate demat account of a beneficial owner in the depository system only after receipt of complete Account opening form, KYC and supporting documents as specified by SEBI from time to time.

Beneficial Owner information

3. The DP shall maintain all the details of the beneficial owner(s) as mentioned in the account opening form, supporting documents submitted by them and/or any other information pertaining to the beneficial owner confidentially and shall not disclose the same to any person except as required by any statutory, legal or regulatory authority in this regard.
4. The Beneficial Owner shall immediately notify the DP in writing, if there is any change in details provided in the account opening form as submitted to the DP at the time of opening the demat account or furnished to the DP from time to time.

Fees/Charges/Tariff

5. The Beneficial Owner shall pay such charges to the DP for the purpose of holding and transfer of securities in dematerialized form and for availing depository services as may be agreed to from time to time between the DP and the Beneficial Owner as set out in the Tariff Sheet provided by the DP. It may be informed to the Beneficial Owner that "no charges are payable for opening of demat accounts"
6. In case of Basic Services Demat Accounts, the DP shall adhere to the charge structure as laid down under the relevant SEBI and/or Depository circulars/directions /notifications issued from time to time.
7. The DP shall not increase any charges/tariff agreed upon unless it has given a notice in writing of not less than thirty days to the Beneficial Owner regarding the same.

Dematerialization

8. The Beneficial Owner shall have the right to get the securities, which have been admitted on the Depositories, dematerialized in the form and manner laid down under the Bye Laws, Business Rules and Operating Instructions of the depositories.

Separate Accounts

9. The DP shall open separate accounts in the name of each of the beneficial owners and securities of each beneficial owner shall be segregated and shall not be mixed up with the securities of other beneficial owners and/or DP's own securities held in dematerialized form.
10. The DP shall not facilitate the Beneficial Owner to create or permit any pledge and /or hypothecation or any other interest or encumbrance over all or any of such securities submitted for dematerialization and/or held in demat account except in the form and manner prescribed in the Depositories Act, 1996, SEBI (Depositories and Participants) Regulations, 1996 and Bye-Laws/Operating Instructions/Business Rules of the Depositories.

Transfer of Securities

11. The DP shall effect transfer to and from the demat accounts of the Beneficial Owner only on the basis of an order, instruction, direction or mandate duly authorized by the Beneficial Owner and the DP shall maintain the original documents and the audit trail of such authorizations.
12. The Beneficial Owner reserves the right to give standing instructions with regard to the crediting of securities in his demat account and the DP shall act according to such instructions.

Statement of account

13. The DP shall provide statements of accounts to the beneficial owner in such form and manner and at such time as agreed with the Beneficial Owner and as specified by SEBI/depository in this regard.
14. However, if there is no transaction in the demat account, or if the balance has become Nil during the year, the DP shall send one physical statement of holding annually to such BOs and shall resume sending the transaction statement as and when there is a transaction in the account.
15. The DP may provide the services of issuing the statement of demat accounts in an electronic mode if the Beneficial Owner so desires. The DP will furnish to the Beneficial Owner the statement of demat accounts under its digital signature, as governed under the Information Technology Act, 2000. However if the DP does not have the facility of providing the statement of demat account in the electronic mode, then the Participant shall be obliged to forward the statement of demat accounts in physical form.
16. In case of Basic Services Demat Accounts, the DP shall send the transaction statements as mandated by SEBI and/or Depository from time to time.

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Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

Manner of Closure of Demat account

17. The DP shall have the right to close the demat account of the Beneficial Owner, for any reasons whatsoever, provided the DP has given a notice in writing of not less than thirty days to the Beneficial Owner as well as to the Depository. Similarly, the Beneficial Owner shall have the right to close his/her demat account held with the DP provided no charges are payable by him/her to the DP. In such an event, the Beneficial Owner shall specify whether the balances in their demat account should be transferred to another demat account of the Beneficial Owner held with another DP or to rematerialize the security balances held.
18. Based on the instructions of the Beneficial Owner, the DP shall initiate the procedure for transferring such security balances or rematerialize such security balances within a period of thirty days as per procedure specified from time to time by the depository. Provided further, closure of demat account shall not affect the rights, liabilities and obligations of either the Beneficial Owner or the DP and shall continue to bind the parties to their satisfactory completion.

Default in payment of charges

19. In event of Beneficial Owner committing a default in the payment of any amount provided in Clause 5 & 6 within a period of thirty days from the date of demand, without prejudice to the right of the DP to close the demat account of the Beneficial Owner, the DP may charge interest at a rate as specified by the Depository from time to time for the period of such default.
20. In case the Beneficial Owner has failed to make the payment of any of the amounts as provided in Clause 5&6 specified above, the DP after giving two days notice to the Beneficial Owner shall have the right to stop processing of instructions of the Beneficial Owner till such time he makes the payment along with interest, if any.

Liability of the Depository

21. As per Section 16 of Depositories Act, 1996,
 1. Without prejudice to the provisions of any other law for the time being in force, any loss caused to the beneficial owner due to the negligence of the depository or the participant, the depository shall indemnify such beneficial owner.
 2. Where the loss due to the negligence of the participant under Clause (1) above, is indemnified by the depository, the depository shall have the right to recover the same from such participant.

Freezing/ Defreezing of accounts

22. The Beneficial Owner may exercise the right to freeze/defreeze his/her demat account maintained with the DP in accordance with the procedure and subject to the restrictions laid down under the Bye Laws and Business Rules/Operating Instructions.

23. The DP or the Depository shall have the right to freeze/defreeze the accounts of the Beneficial Owners on receipt of instructions received from any regulator or court or any statutory authority.

Redressal of Investor grievance

24. The DP shall redress all grievances of the Beneficial Owner against the DP within a period of thirty days from the date of receipt of the complaint.

Authorized representative

25. If the Beneficial Owner is a body corporate or a legal entity, it shall, along with the account opening form, furnish to the DP, a list of officials authorized by it, who shall represent and interact on its behalf with the Participant. Any change in such list including additions, deletions or alterations thereto shall be forthwith communicated to the Participant.

Law and Jurisdiction

26. In addition to the specific rights set out in this document, the DP and the Beneficial owner shall be entitled to exercise any other rights which the DP or the Beneficial Owner may have under the Rules, Bye Laws and Regulations of the respective Depository in which the demat account is opened and circulars/notices issued there under or Rules and Regulations of SEBI.
27. The provisions of this document shall always be subject to Government notification, any rules, regulations, guidelines and circulars/ notices issued by SEBI and Rules, Regulations and Bye-laws of the relevant Depository, where the Beneficial Owner maintains his/ her account, that may be in force from time to time.
28. The Beneficial Owner and the DP shall abide by the arbitration and conciliation procedure prescribed under the Bye-laws of the depository and that such procedure shall be applicable to any disputes between the DP and the Beneficial Owner.
29. Words and expressions which are used in this document but which are not defined herein shall unless the context otherwise requires, have the same meanings as assigned thereto in the Rules, Bye-laws and Regulations and circulars/notices issued there under by the depository and /or SEBI
30. Any changes in the rights and obligations which are specified by SEBI/Depositories shall also be brought to the notice of the clients at once.
31. If the rights and obligations of the parties hereto are altered by virtue of change in Rules and regulations of SEBI or Bye-laws, Rules and Regulations of the relevant Depository, where the Beneficial Owner maintains his/her account, such changes shall be deemed to have been incorporated herein in modification of the rights and obligations of the parties mentioned in this document.

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Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

Combined Registration Form for availing SMS Alert and/or TRUST facility and for registering Clearing Members on whose behalf the securities can be transferred from the account of BO on the basis of SMS under TRUST Facility

To,

MSB e-Trade Securities Ltd.

Regd. Office : A-17, Upper Ground Floor, Pushpanjali Enclave,
Pitampura, Delhi-110034

Dear Sir/Madam,

I/We wish to avail the following facility/ies provided by the depository on my/our mobile number as provided below subject to the terms and conditions as specified by CDSL.

- a. SMART - SMS alert facility
- b. TRUST - Transaction using Secured Texting facility.

(please note that SMS alert facility is mandatory if TRUST facility is opted for)

BO ID	1	2	0	7	0	6	0	0								
(Please write your 8 digit DPID)									(Please write your 8 digit Client ID)							

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

I/We wish to register the following clearing member / IDs under my/our above mentioned BO ID registered for TRUST.

Sr. No.	Stock Exchange Name/ID	Clearing Member Name	Clearing Member ID (Optional)
1.	(11) BSE Limited	MSB e-Trade Securities Limited	6395
2.	(12) National Stock Exchange	MSB e-Trade Securities Limited	M51401
3.	(29) Metropolitan Stock Exchange	MSB e-Trade Securities Limited	21000
4.			
5.			

Mobile No. on which messages are to be sent	+	9	1										
(Please write only the mobile number without prefixing country code or zero)													

(Existing users registered for SMS alerts : Please note that if the mobile number for TRUST is different than the registered mobile number for SMS alert, the new mobile number will be updated for SMS alert also.)

The Mobile Number is registered in the name of:(Name) _____

E-mailId: _____

(Please write only ONE valid email Id on which communication; if any, is to be sent)

I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of availing the said facility.

I/We acknowledge that transactions entered by the above clearing members will be executed on the basis of SMS sent through our registered mobile number under TRUST and I/we shall be who lly responsible for execution/non-execution of the said transactions based on receipt/non- receipt of such SMS.

I/We have read and understood the terms and conditions prescribed by CDSL for the said facility/ies and agree to abide by them and any amendments there to made by the depository from time to time. I/We further undertake to pay fee/charges as may be levied by the depository from time to time.

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Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

Terms And Conditions for availing Transaction Using Secured Texting (TRUST) service offered by CDSL

1. Definitions:

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise:

- i. "Depository" means Central Depository Services (India) Limited (CDSL)
 - ii. TRUST means "Transactions Using Secured Texting" service offered by the Depository.
 - iii. "Service Provider" means a cellular service provider(s) with whom the Depository has entered / shall enter into an arrangement for providing the TRUST service to the BO.
 - iv. "Service" means the service of providing facility to receive/give instructions through SMS on best effort basis as per the following terms and conditions. The types of transaction that would normally qualify for this type of service would be informed by CDSL from time to time.
 - v. "Third Party" means the operators with whom the Service Provider is having / will have an arrangement for providing SMS to the BO.
2. The service will be provided to the BO at his / her request and at the discretion of the depository provided the BO has registered for this facility with their mobile numbers through their DP or by any other mode as informed by CDSL from time to time. Acceptance of application shall be subject to the verification of the information provided by the BO to the Depository
 3. The messages will be sent on best efforts basis by way of an SMS on the mobile no which has been provided by the BOs. However Depository shall not be responsible if messages are not received or sent for any reason whatsoever, including but not limited to the failure of the service provider or network.
 4. The BO is responsible for promptly informing its DP in the prescribed manner any change in mobile number, or loss of handset on which the BO wants to send/receive messages generated under TRUST. In case the new number is not registered for TRUST in the depository system, the messages generated under TRUST will continue to be sent to the last registered mobile number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of messages sent on such mobile number.
 5. The BO agrees that SMS received by the Depository from the registered mobile number of the BO on the basis of which instructions are executed in the depository system shall be conclusive evidence of such instructions having been issued by the BO. The DP / CDSL will not be held liable for acting on SMS so received.
 6. The BO shall be responsible for submitting response to the 'Responsive SMS' within the specified time period. Transactions for which no positive or negative confirmation is received from the BO, will not be executed except for transaction for deregistration. Further, CDSL shall not be responsible for BOs not submitting the response to the said SMS within the time limit prescribed by CDSL.
 7. The BO agrees that the signing of the TRUST registration form by all joint holders shall mean that the instructions executed on the basis of SMS received from the registered mobile for TRUST shall be deemed to have been executed by all joint holders.
 8. The BO agrees to ensure that the mobile number for TRUST facility and SMS alert (SMART) facility is the same. The BO agrees that if he is not registered for SMART, the DP shall register him for SMART and TRUST. If the mobile number provided for TRUST is different from the mobile number recorded for SMART, the new mobile number would be updated for SMART as well as TRUST.
 9. BOs are advised to check the status of their obligation from time to time and also advise the respective CMs to do so. In case of any issues, the BO/CM should approach their DPs to ensure that the obligation is fulfilled through any other mode of delivery of transactions as may be informed / made available by CDSL from time to time including submission of Delivery Instruction Slips to the DP.
 10. The BO acknowledges that CDSL will send the message for confirmation of a transaction to the BO only if the Clearing Member (registered by the BO for TRUST) enters the said transaction in CDSL system for execution through TRUST within prescribed time limit.
 11. The BO further acknowledges that the BO/CM shall not have any right to any claim against either the DP or Depository for losses, if any, incurred due to non receipt of response on the responsive SMS or receipt of such response after the prescribed time period. In the event of any dispute relating to the date and time of receipt of such response, CDSL's records shall be conclusive evidence and the Parties agree that CDSL's decision on the same shall be final and binding on both Parties.
 12. The BO may request for deregistration from TRUST at any time by giving a notice in writing to its DP or by any other mode as specified by Depository in its operating instructions. The same shall be effected after entry of such request by the DP in CDSL system if the request is received through the DP.
 13. Depository reserves the right to charge such fees from time to time as it deems fit for providing this service to the BO.
 14. The BO expressly authorises Depository to disclose to the Service Provider or any other third party, such BO information as may be required by them to provide the services to the BO. Depository however, shall not be responsible and be held liable for any divulgence or leakage of confidential BO information by such Service Providers or any other third party.
 15. The BO takes the responsibility for the correctness of the information supplied by him to Depository through the use of the said Facility or through any other means such as electronic mail or written communication.
 16. The BO is solely responsible for ensuring that the mobile number is not misused and is kept safely and securely. The Depository will process requests originated from the registered Mobile as if submitted by the BO and Depository is not responsible for any claim made by the BO informing that the same was not originated by him.
- ### 17. Indemnity:
- In consideration of providing the service, the BO agrees that the depository shall not be liable to indemnify the BO towards any damages, claims, demands, proceedings, loss, cost, charges and expenses whatsoever as a consequence of or arising out of interference with or misuse, improper or fraudulent use of the service by the BO.
- ### 18. Disclaimer:
- Depository shall be absolved of any liability in case :-
- a. There is loss of any information during processing or transmission or any unauthorized access by any other person or breach of confidentiality.
 - b. There is any lapse or failure on the part of the service providers or any third party affecting the said Facility and that Depository makes no warranty as to the quality of the service provided by any such service provider.
 - c. There is breach of confidentiality or security of the messages whether personal or otherwise transmitted through the Facility.

TERMS & CONDITIONS-CUM-REGISTRATION/MODIFICATION FORM FOR RECEIVING SMS ALERTS FROM CDSL

(SMS Alerts will be send by CDSL to BO for all debits)

Definitions :

In these Terms and Conditions the terms shall have following meaning unless indicated otherwise.

1. "Depository" means Central Depository Services (India) Limited a company incorporated in India under the Companies Act 1956 and having its registered office at 17th Floor, P.J. Tower, Dalal Street, Fort, Mumbai-400001 and all its branch offices and includes its successors and assigns.
2. 'DP' means Depository Participant of CDSL. The term covers all types of DPs who are allowed to open demat accounts for investors.
3. 'BO' means an entity that has opened a demat account with the depository. The term covers all types of demat accounts, which can be opened with a depository as specified by the depository from time to time.
4. SMS means "Short Messaging Service"
5. 'Alerts' means a customized SMS sent to the BO over the said mobile phonenumber.
6. 'Service Provider' means a cellular service provider(s) with whom the depository has entered/will be entering into an arrangement for providing the SMS alerts to the BO.
7. 'Service' means the service of providing SMS alerts to the BO on best effort basis as per these terms and conditions.

Availability :

1. The service will be provided to the BO at his/her request and at the discretion of the depository. The service will be available to those account holders who have provided their mobile numbers to the depository through their DP. The service may be discontinued for a specific period/indefinite period with or without issuing any prior notice for the purpose of security reasons or system maintenance or for such other reasons as may be warranted. The depository may also discontinue the service at any time without giving prior notice for any reason whatsoever.
2. The service is currently available to the BOs who are residing in India.
3. The alerts will be provided to the BOs only if they remain within the range of the service provider's service area or within the range forming part of the roaming network of the service provider.
4. In case of joint accounts and non-individual accounts the service will be available, only to one mobile number i.e. to the mobile number as submitted at the time of registration / modification.
5. The BO is responsible for promptly intimating to the depository in the prescribed manner any change in mobile number, or loss of handset, on which the BO wants to receive the alerts from the depository.

In case of change in mobile number not intimated to the depository, the SMS alerts will continue to be sent to the last registered mobile phone number. The BO agrees to indemnify the depository for any loss or damage suffered by it on account of SMS alerts sent on such mobile number.

Receiving Alerts :

1. The depository shall send the alerts to the mobile phone number provided by the BO while registering for service or to any such number replaced and informed by the BO from time to time. Upon such registration / change, the depository shall make every effort to update the change in mobile number within a reasonable period of time. The depository shall not be responsible for any event of delay or loss of message in this regard.
2. The BO acknowledges that the alerts will be received only if the mobile phone is in 'ON' and in a mode to receive the SMS. If the mobile phone is in 'Off' mode i.e. unable to receive the alerts then the BO may not get / get after delay any alerts sent during such period.
3. The BO also acknowledges that the readability, accuracy and timeliness of providing the services depend on many factors including the infrastructure, connectivity of the service provider. The depository shall not be responsible for any non-delivery, delayed delivery or distortion of the alert in any way whatsoever.
4. The BO further acknowledge that the service provided to him is an additional facility provided for his convenience and is susceptible to error, omission and/or in accuracy. In case of BO observes any error in the information provided in the alert, the BO shall inform the depository and/or the DP immediately in writing and the depository will make best possible efforts to rectify the errors as early as possible. The BO shall not hold the depository liable for any loss, damages, etc. that may be incurred/suffered by the BO an account to avail SMS alerts facility.
5. The BO authorized the depository to send any message such as promotional, greeting or any other message that the depository may consider appropriate, to the BO. The BO agrees to an ongoing confirmation for use of name, email address and mobile number for marketing offers between CDSL and any other entity.
6. The BO agrees to inform the depository and DP in writing of any unauthorized debit to his BO account/unauthorized transfer of securities from his BO account, immediately, which may come to his knowledge on receiving SMS alerts. The BO may send an email to CDSL at complaints@cdslindia.com The BO is advised not to inform the service provider about any such unauthorized debit to/transfer of securities from his BO account by sending a SMS back to the service provider as there is no reverse communication between the service provider and the depository.

7. The information sent as an alert on the mobile phone number shall be deemed to have been received by the BO and the depository shall not be under any obligation to confirm the authenticity of the person(s) receiving the alert.
8. The depository will make best efforts to provide the service. The BO cannot hold the depository liable for non-availability of the service in any manner whatsoever.
9. If the BO finds that the information such as mobile number etc., has been changed without proper authorization, the BO should immediately inform the DP in writing.

Fees :

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

Disclaimer :

The depository shall make reasonable efforts to ensure that the BO's personal information is kept confidential. The depository does not warrant the confidentiality or security of the SMS alerts transmitted through a service provider. Further, the depository makes no warranty or representation of any kind in relation to the system and the network or their function or their performance or for any loss or damage whenever and howsoever suffered or incurred by the BO or by any person resulting from or in connection with availing of SMS alerts facility. The Depository will not be liable for any unauthorized

use or access to the information and/or SMS alert sent on the mobile phone number of the BO or for fraudulent, duplicate or erroneous use/ misuse of such information by an third person.

Liability and Indemnity :

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

Amendments :

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

Governing Law and Jurisdiction :

Providing the Service as outlined above shall be governed by the laws of India and will be subject to the exclusive jurisdiction of the courts in Mumbai.

I/We wish to avail the SMS Alerts facility provided by the depository on my/our mobile number provided in the registration form subject to the terms and conditions mentioned below. **I/We consent to CDSL providing to the service provider such information pertaining to account/transactions in my/our account as is necessary for the purpose of generating SMS Alerts by service provider, to be sent to the said mobile number.**

I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/we further undertake to pay fee/charges as may be levied by the depository from time to time.

I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

I/We am/are aware that mere acceptance of the registration form does not imply in any way that the request has been accepted by the depository for providing the service.

I/We provide the following information for the purpose of registration/modification (Please cancel out what is not applicable).

DP ID	1	2	0	7	0	6	0	0	BO ID								
-------	---	---	---	---	---	---	---	---	-------	--	--	--	--	--	--	--	--

Sole/First Holder's Name : _____

Second Holder's Name : _____

Third Holder's Name : _____

Mobile No. on which messages are to be sent

+	9	1											
---	---	---	--	--	--	--	--	--	--	--	--	--	--

(Please write only the mobile number without prefixing country code or zero)

The Mobile Number is registered in the name of: _____

E-mail Id: _____

(Please write only ONE valid email Id on which communication; if any, is to be sent)

 27

Signature of Sole/First Holder



Signature of Second Holder



Signature of Third Holder

IN CASE OF JOINT HOLDING, ALL JOINT HOLDERS MUST SIGN.

***Please do not use correction fluid, all cuttings must be attested by all the joint holder(s)**

Place : Date :

OPTION FORM FOR ISSUE OF DIS BOOKLET

DP ID	1	2	0	7	0	6	0	0	Client ID								
First Holder Name																	
Second Holder Name																	
Third Holder Name																	

To,

MSB e-Trade Securities Ltd.

Regd. Office : A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Dear Sir / Madam,

I / We hereby state that :

[Select one of the options given below]

☐ **OPTION 1 :**




I/We request you to issue Delivery Instruction Slip(DIS) booklet to me/us on opening my/our CDSL account through I/We have issued a Power of Attorney (POA)/executed PMS agreement in favour of/with _____ (name of 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.

☐ **OPTION 2 :**

OR

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued a Power of Attorney (POA)/executed PMS agreement in favour of/with _____ (name of 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 day.

Yours faithfully

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Name			
Signatures	 28		

DECLARATION FOR AILING OF BASIC SERVICE DEMAT ACCOUNT (BSDA) FACILITY

To,

MSB e-Trade Securities Ltd.

Regd. Office : A-17, Upper Ground Floor, Pushpanjali Enclave, Pitampura, Delhi-110034

Dear Sir / Madam,

☐ I/We wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.

☐ I/We do not wish to avail the BSDA facility for the new account for which we have submitted my/our account opening form.




DP ID	1	2	0	7	0	6	0	0	Client ID									
	NAME										PAN							
Sole/First Holder																		
Second Holder																		
Third Holder																		

I / We have read and understood the regulatory (SEBI) guidelines for opening a Basic Services Demat Account and undertake to comply with the aforesaid guidelines from time to time.

I/We also undertake to comply with the guidelines issued by any such authority for BSDA facility from time to time.

I/We also agree that in case our demat account opened under BSDA facility does not meet the eligibility for BSDA facility as per guidelines issued by SEBI or any such authority at any point of time, my/our BSDA account will be converted to regular demat account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I, the first / sole holder also hereby declare the I do not have / propose to have any other demat account across depositories as a first / sole holder.

	First / Sole Holder	Second Joint Holder	Third Joint Holder
Signatures	 29		

Demat Debit and Pledge Instruction ("DDPI")

Demat Debit and Pledge Instruction ("DDPI") I/We agree to the terms and purpose of this DDPI document between Mr./Ms/M/s _____ (First Holder) _____ (Second holder) and _____ (Third holder) an individual/body of individuals/a sole proprietary concern/a Companies Act 2013, or any relevant Act or unregistered in nature; and **M/S MSB e-Trade Securities Limited.** having its Registered Office at **A-17, UPPER GROUND FLOOR, PUSHPANJALI ENCLAVE, PITAMPURA DELHI-110034 India;** Whereas:(a) I/We have established a business relationship with MSB e-Trade Securities Limited to avail services w.r.t. trading, investing, Demat & other services offered by MSB e-Trade Securities Limited, having a DP ID 12070600 & Client Id: _____ (b) This DDPI document shall be in line with SEBI Circular no. SEBI/HO/MIRSD/PoD-1/P/CIR/2022/137 dated October 06, 2022, as may be updated from time, & I agree to the below points;

 30

Signature of Sole/First Holder















Signature of Second Holder



Signature of Third Holder

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Demat Debit and Pledge Instruction ("DDPI")				
S. No.	PURPOSE	Signature of Client*		
		First/Sole Holder/Director/ Auth. Signatory	2nd Holder/Director/ Auth. Signatory	3rd Holder/Director/ Auth. Signatory
1	Transfer of Securities held in the beneficial owner accounts of the client towards Stock Exchange related deliveries / settlement obligations arising out of trades executed by clients on the Stock exchange through the same stock broker			
2	Pledging / Re-Pledging of securities in favour of trading member (TM) / clearing member (CM) for meeting margin requirement of the clients in connection with the trades executed by the clients on the Stock exchange.			
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms			
4	Tendering shares in open offers through Stock Exchange platforms.			

** The Same may be signed physically against each purpose of DDPI. The same may also be e-Signed.*

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Charge schedule for an individual, Corporate, NRI, OCB & Foreign National Account (w.e.f.1-1-2015)

Details of Charges	Schedule "A"	Schedule "B"	Schedule "C" (For Non Individual)
Account Opening Charges	NIL	NIL	NIL
Account Maintenance Charges	Rs. 250/-	Rs. 700/- For Lifetime	Rs. 1000/-
Transaction Charges Market & Off-Market	Rs. 15/-	Rs. 14/-	Rs. 14/-
Transaction Charges Market & Off-Market (Receipt)	NIL	NIL	NIL
Custody Charges	NIL	NIL	NIL
Demat Charges	Rs. 3/- per Certificate + Courier Charges**	Rs. 3/- per Certificate + Courier Charges**	Rs. 3/- per Certificate + Courier Charges**
Remat Rejection Charges	Rs. 3/- per Rejection	Rs. 25/- per Rejection	Rs. 25/- per Rejection
Remat Charges	Rs.20/- per 100 securities or part quantity or Rs. 20/-per certificate whichever is higher + Courier Charges	Rs. 20/- per 100 securities or part quantity or Rs. 20/-per certificate whichever is higher+ Courier Charges	Rs. 20/- per 100 securities or part quantity or Rs. 20/-per certificate whichever is higher + Courier Charges
Pledge / Pledge / Acceptance	Rs. 50/- per ISIN	Rs. 50/- per ISIN	Rs. 50/- per ISIN
Hypothecation Unpledge / Acceptance	Rs. 50/- per ISIN	Rs. 50/- per ISIN	Rs. 50/- per ISIN
Charges Pledge Invocation Acceptance	NIL	NIL	NIL
Internet Facility 'easi'	NIL	NIL	NIL
Internet Facility 'easiest'	NIL	NIL	NIL
Delivery Instruction Book Charges	First DIC is Free there after Rs. 20/- (10 Leaf), Rs. 40/- (20 Leaf)	First DIC is Free there after Rs. 20/- (10 Leaf), Rs.40/-(20 Leaf)	First DIC is Free there after Rs. 20/- (10 Leaf), Rs.40/-(20 Leaf)

* AMC for NRI/Foreign National/OCB Client is Rs. 1000/- PA remaining charges shall be applicable as per Schedule "A".

** Demat Charges Minimum Rs. 20/- per company upto 10 certificates whichever is higher

- Failed Instruction shall be charged Rs. 30/- per intimation
- Courier charges Upfront (NA in case of Price Structure)
Outstation: Rs. 50/- upto 10 certificates and thereafter for every 10 certificates Rs. 25/- Extra Local: Rs. 25/- upto 10 certificates and thereafter for every 10 certificates Rs.15/- Extra.
- Transmission Charges (Upfront) Rs. 250/-
- Modification of account details and Re dispatch of client master shall be charged Rs. 50/- per instance
- Non- periodic statement and other communication shall be charged extra on actual basis.
- In case of foreign correspondence address, in addition to annual maintenance charges, statement/communication charges shall be charged extra.
- Service Tax or any other tax shall be applicable.
- Transaction Charges for BSDA/A/c is Rs. 20/- per transaction, remaining charges shall be applicable as Schedule A.

NOTES:

- In case account holder has not selected any of the schemes then by default Scheme Schedule "A" shall be applicable.
- Kindly Note:
 - Billing for the month will be done in the succeeding month in accordance with the applicable slabs.
 - Bills will be sent on monthly basis if any transaction has been carried out during the month; otherwise on quarterly basis.
 - All charges/ Services are subject to revision by giving not less than 30 days' notice at the sole discretion of MSB e-Trade Securities Limited.
 - In case of non-payment of bill/dues within 30 days of due date, interest shall be charged @2%p.m.
 - The depository services are liable to be discontinued on such default. The renewable charges for resuming the services will be Rs.100/-
 - Any hardware/software cost for 'easiest' e-Token, Digital Signature etc. shall be borne by the account holder(upfront).
 - Any other service, which is not mentioned above, will be charged separately as per the rates applicable from time to time. Out of pocket expenses including overseas Consignment will be charged extra on actual basis.

I/we hereby give my/our consent for opening of depository account under Scheme _____ (mention name of the scheme)

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Signature of Sole/First Holder

Signature of Second Holder

Signature of Third Holder

for MSB e-Trade Securities Limited
(Auth. Signature)



BOARD RESOLUTION FOR DEMAT / TRADING ACCOUNT

Certified True Copy of the Resolution passed in the meeting of Board of Directors of M/s _____ held on _____ (DATE) at _____ (Regd Address of the company)

"RESOLVED THAT the Clearing Member/Beneficiary account/Trading Account/Repository Account for the company be opened with MSB e-Trade Securities Limited (Trading Member / Depository Participant of CDSL/Repository Participant of CDSL Commodity Repository Ltd.) in the name and style of "M/s _____ to deal in Depository/Investment in Securities Market/Capital Market/Equity Derivatives/Currency Derivatives/Mutual Fund/Commodity and any other segment that may be introduced by the CDSL/NSE/ BSE/MSEIL/KRA/AMFI/MCX/NCDEX/ICEX.

"RESOLVED FURTHER THAT Mr. _____, Director and/or Mr. _____ Director of the company be and is/are hereby SINGLY/SEVERALLY/JOINTLY authorized to enter into agreement, to open, to Deal, to sign, submit application, investment in securities, submit such online investment products facility registration form, undertaking, agreements, writings, deeds, other requisite documents, finalize the terms and conditions for opening the account, execute the DIS, to sell, purchase, Trading (execute orders/trades in Equity Market, Derivative, F&O, Currency Derivative, Commodity Derivative (Future & Option), Other Derivative of the exchange, Mutual Fund), transfer, endorse, completing the formalities as deemed necessary to Open / dealing through MSB e-Trade Securities Ltd. in Demat Account, Trading Account, Capital Market, Derivative (F&O, CD) Segment, Mutual Fund, investment in securities market, Commodity Derivative (Future & Option)& other segments that may be introduces by the Depository Participant/Trading Member/Intermediaries of the Depository/Exchange/KRA/CKYC from time to time.

"RESOLVED FURTHER THAT the company do grant in favour of MSB e-Trade Securities Limited a Demat Debit and Pledge Instructions (DDPI) in Demat Account only limited to enabling MSB e-Trade Securities Limited meet payin obligations for sale transaction carried out in the Trading of the company, to margin obligation and SINGLY/SEVERALLY/JOINTLY authorize Mr. _____, Director and/or Mr. _____, Director of the Company to execute, notarize and deliver to MSB e-Trade Securities Limited, said "DDPI" and to do all such other things as may be necessary in this connection.

"Further resolved that the above resolution be communicated to MSB e-Trade Securities Limited. and shall remain in force until the same is cancelled or modified by the Board of Directors, by another resolution that is communicated to MSB e-Trade Securities Limited.

True Certified copy

For _____

(_____) (_____)

Director

Director

DIN:

DIN:

LIST OF AUTHORISED SIGNATORY

S. No.	Name of Authorised Signatory	Designation of Authorised Signatory	DIN no./PAN no./ Aadhaar no.		Specimen Signature of Authorised Signatory
1		DIRECTOR	DIN no.		
			PAN no.		
			Aadhaar no.		
2.		DIRECTOR	DIN no.		
			PAN no.		
			Aadhaar no.		

True Certified copy

For _____

Director

Director

DIN:

DIN:

LIST OF DIRECTOR

S. No.	Name of Director	Address of the Director	DIN no./PAN no./Aadhaar no.	Details
1			DIN no.	
			PAN no.	
			Aadhaar no.	
2.			DIN no.	
			PAN no.	
			Aadhaar no.	

True Certified copy

For _____

Director

Director

DIN:

DIN:

NACH/ECS/AUTO DEBIT UMRN Date

MANDATE INSTRUCTION FROM
Sponsor Bank Code Utility Code

Tick (✓)

☐ CREATE I/We hereby authorize to debit Tick (✓) ☐ SB/CA/CC/SB-NRE/SB-NRO/Other

☐ MODIFY

☐ CANCEL

Bank a/c number

with Bank Name of customers bank IFSC or MICR

an amount of Rupees ₹

FREQUENCY ☐ Mthly ☐ Qty ☐ H-Yrly ☐ Yrly ☒ As & when presented DEBIT TYPE ☐ FIXED AMOUNT ☒ Maxmum Amount

Reference 1 Phone No.

Reference 2 Email ID

I agree for me debit of mandate processing charges by the Bank whom I am authorizing to debit my account as per latest schedule of charges of the Bank.

PERIOD

From

To

Or ☐ Until Cancelled

Signature Primary Account holder

Signature of Account holder

Signature of Account holder

1. Name as in bank records

2. Name as in bank records

3. Name as in bank records

NACH/ECS/AUTO DEBIT UMRN Date

MANDATE INSTRUCTION FROM
Sponsor Bank Code Utility Code

Tick (✓)

☐ CREATE I/We hereby authorize to debit Tick (✓) ☐ SB/CA/CC/SB-NRE/SB-NRO/Other

☐ MODIFY

☐ CANCEL

Bank a/c number

with Bank Name of customers bank IFSC or MICR

an amount of Rupees ₹

FREQUENCY ☐ Mthly ☐ Qty ☐ H-Yrly ☐ Yrly ☒ As & when presented DEBIT TYPE ☐ FIXED AMOUNT ☒ Maxmum Amount

Reference 1 Phone No.

Reference 2 Email ID

I agree for me debit of mandate processing charges by the Bank whom I am authorizing to debit my account as per latest schedule of charges of the Bank.

PERIOD

From

To

Or ☐ Until Cancelled

Signature Primary Account holder

Signature of Account holder

Signature of Account holder

1. Name as in bank records

2. Name as in bank records

3. Name as in bank records



CHECK LIST OF THE DOCUMENTS FOR OPENING OF DEMAT / TRADING ACCOUNT	
Check List For Individual	Check List For HUF
<input type="checkbox"/> Photocopy of PAN card (Self attested)	<input type="checkbox"/> Photocopy of PAN card of HUF and Karta
<input type="checkbox"/> Photocopy of Address proof (Self Attested)	<input type="checkbox"/> Photocopy of Bank Statement for last 6 months.
<input type="checkbox"/> Cancelled cheque (if A/c name not mentioned on cheque then provide bank statement also)	<input type="checkbox"/> Cancelled cheque (if A/c name not mentioned on cheque then provide bank statement also)
<input type="checkbox"/> Photocopy of Bank Statement for last 6 months / IncomeTax Return (Last Two Years)	<input type="checkbox"/> Photocopy of Bank Statement for last 6 months/Income Tax Return (Last Two Years)
<input type="checkbox"/> Demat Client Master/Demat Holding Statement or Demat A/c Opening form.	<input type="checkbox"/> Demat Client Master/Latest Demat Holding Statement or Demat A/c Opening form.
<input type="checkbox"/> Margin Cheque (Account Payee favoring "MSB e-Trade Securities Limited")	<input type="checkbox"/> Margin Cheque (Account Payee favoring "MSB e-Trade Securities Limited")
<input type="checkbox"/> 1 Photograph duly pasted & sign across on page no. 1	<input type="checkbox"/> 2 Photograph duly pasted & sign across (1-photo on page no 3 & 1-photo on page no.5)
	<input type="checkbox"/> Photocopy of Address proof of Karta
	<input type="checkbox"/> Fill the List of Co-parceners /Member on the page no. 21 of KYC form
CHECK LIST FOR CORPORATE M/s _____ Contact Name: _____ Contact No.: _____	
<input type="checkbox"/> Copy of PAN (Permanent Account Number) of the Non-Individual <input type="checkbox"/> Copy of Address Proof (Form-18 with Payment Receipt, Bank Statement for last 6 months) <input type="checkbox"/> Copy of the balance sheets for the last 2 financial years (to be submitted every year). <input type="checkbox"/> 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). <input type="checkbox"/> Photograph, POI, POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. <input type="checkbox"/> Photograph, POI, POA, PAN of individual promoters holding control- either directly or indirectly. <input type="checkbox"/> Copies of the Memorandum and Articles of Association and certificate of incorporation. <input type="checkbox"/> Copy of the Board Resolution for investment in Securities market.	<input type="checkbox"/> Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in derivatives on behalf of company/firm/others and their specimen signatures. <input type="checkbox"/> Copy of the Board Resolution for Opening of Demat Account <input type="checkbox"/> Cancelled Cheque (Along with the Bank statement for last six month if name of client is not mentioned) <input type="checkbox"/> Income Tax Return (for last 2 year) <input type="checkbox"/> Demat Client Master / Latest Demat Holding Statement / Demat Account Opening Form <input type="checkbox"/> 1 each photo of Authorised Signatory/ signatories on duly pasted, stamped & signed across. <input type="checkbox"/> 1 each photo of Authorised Signatory/signatories on Demat Account. <input type="checkbox"/> 1 each photo of Authorised Signatory/signatories on CKYC form. <input type="checkbox"/> Power of Attorney (POA) for Demat A/c
<p align="center">Note: All the Document & KYC form must be stamp & sign by the Authorised Signatory as the Board Resolution</p> <p>ADDITION IN MOA:- To buy, sell or/and deal in all kind of shares, stocks, securities, equity derivative, currency derivative, Future & Options, bonds, debentures, units, commodity derivative and other instruments of all types. To deal in foreign exchange, and currencies and to convert currencies subject to approval of appropriate.</p>	
<p align="center"><u>NRI Trading Account Demat Account</u></p> <p align="center">Additional Documents required in case of NRI :-</p> <ul style="list-style-type: none"> Document ensuring status of entity - In case of Indian passport valid passport, Place of birth as India, Valid Visa-Work/Student/employment/resident permit etc. - In case of Foreign passport : Valid passport and any of the following <ul style="list-style-type: none"> o Place of Birth as India in foreign passport o Copy of PIO/OCI Card as applicable in case of PIO/OCI - Copy of Passport (all pages). • In case of place of birth is not India, proof of applicant being person of Indian Origin is required. • Indian Address and Foreign Address Proof. • PIS Permission Letter from the respective designated bank. • Bank verification letter indicating type of A/c as NRI/NRO/NRE. • PAN Card. • Overseas Address Driving License/Foreign passport/Utility Bills/Bank Statement (not more than 2 months old) Notarized copy of rent agreement / leave & license agreement/Sale deed. • Photograph of Investor. • Proof of respective bank account & depository accounts. • FEMA/FERA undertaking. (As per the attached with the KYC) 	<p align="center"><u>Guidelines for NRI Trading:</u></p> <ul style="list-style-type: none"> • An NRI can deal with only one bank at any point of time. PIS (Portfolio Investment Scheme) approval can be issued by only one bank. • Intraday trading is not allowed for NRIs. NRIs can trade only in delivery- based transactions. • BTST (Buy Today Sell Tomorrow) is not allowed to NRIs. • NRI will be allowed to invest only up to 5 % of the paid up capital of the company. NRIs are NOT allowed to buy certain scripts under this regulation. Report of the same is available on the RBI website. http://www.rbi.org.in/scripts/BS_FiiUSer.aspx • NRIs need to have 100% funds at the time of buying. No exposure is given to NRIs. Same way, they need to have 100% stock available to the while selling. No short selling allowed. • Contract notes of NRIs are daily reported to respective Bank and bank in turn report them to RBI. Reporting is taken care by Member. • A NRI is required to make bill-to-bill payments. No adjustments of purchase against sale consideration can be done. Purchase and Sales will be dealt separately for payments/receipts. • IPOs/Mutual funds can be applied through NON PIS i.e. Through NRE/NRO Savings account. • FNO transactions can be routed through NRO NON PIS i.e. through NRO Savings account For FNO transactions separate code is allotted by NSE and the same has to be punched at the time of placing FNO order for NRI clients along with the client code.

It may kindly be noted that NRI A/c's are controlled both by SEBI and RBI. Noncompliance on the above defined parameters is a very serious offence and is taken very seriously as the same is taken a violations in FEMA



MSB e-Trade Securities Ltd.

MEMBER: NSE, BSE, MSEI, MCX, NCDEX,
Depository Participant : CDSL

REGISTERED & CORPORATE OFFICE
A-17, UPPER GROUND FLOOR, PUSHPANJALI ENCLAVE,
PITAMPURA, DELHI-110034
Ph. : 011-47107777

Email ID: dp@msbetrade.com & info@msbetrade.com Website: www.msbetrade.com
Exclusive email id for investors grievances: grievances@msbetrade.com
email id for investors grievances of DP: dpgrievances@msbetrade.com