

Indo Thai Securities Ltd.

Account Opening Kit - NRI/NRE




IMPORTANT DOCUMENTS AND INSTRUCTIONS REQUIRED TO FILL THE FORM

Documents required:

1. Self attested copy of PAN.
2. Self attested copy of Aadhar (UID)/Passport.
3. TAX ID of foregin country.
4. NRI/NRE bank account details.
Cancelled cheque showing full name of the account holder, a/c number, MICR No., & IFSC Code.
Or
Bank Account Statement/Passbook - Not more than 3 months old
5. 1 Photograph of the Applicant, cross signed.
6. 1 photograph of Nominee
7. Proof of Identity of Nominee.
8. Proof of address (Foregin)
List of documents admissible as Proof of Address:
 - a. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill.(Not more than 3 months old)
9. Proof of Address (India):
List of documents admissible as Proof of Address:
(*Documents having an expiry date should be valid on the date of submission.)
 - a. Aadhar (UID)/Passport/ Voter's ID/ Driving License.
 - b. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill - Not more than 3 months old.
 - c. Bank Account Statement/Passbook - Not more than 3 months old.
10. A cheque for ;
AMC (as per the tariff) + Rs 100/- (Stamp Duty Charges) + Rs. 100/- (account opening charges)(Exclusive of tax) *In Favor Of Indo Thai Securities Limited.*

Important Instructions:

1. Signature required on the fields marked ().
2. Fields marked with '*' are mandatory fields.
3. Tick (✓) wherever applicable.
4. Please fill the form in English and in BLOCK Letters (*in black ink*).
5. Self-Certification of documents is mandatory.
6. Copies of all the documents submitted by the applicant should be self-attested and accompanied by originals for verification.

Basic details required by the applicant:

Client Name: _____

Mobile: _____ **Email Id:** _____

Occupation: _____

Annual Income: _____

Brokerage _____

Demat AMC Plan _____

Address: _____

Address Proof: _____

Mother Name: _____

Nominee Name: _____

Relationship with Nominee: _____

Place of Birth: _____

Client Signature: 



IndoThai
trade with confidence

INDO THAI SECURITIES LTD.

Client Registration Form

(Broking and Depository Services)

Individual

(To be filled by Member Broker / Depository Participant)

☐ Individual ☐ NRI ☐ Foreign National

Date : ____/____/____

Client Code : _____

Application No. : _____

DP ID:

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

Client ID :

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

Client /B.O. Name : _____

Branch/ A.P. : _____

DEBIT AUTHORISATION

To,
INDO THAI SECURITIES LIMITED
"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171,
PU-4, Scheme No. 54, **INDORE** - 452010 (M.P.)

Subject : Authority to debit the D-mat Account Charges.

Beneficiary Client ID	1 2 0 5 0 9 0 0 -	(Indo Thai Securities Ltd.)
Trading Account Code		

Dear Sir,

1. I/We have a beneficiary account with Indo Thai Securities Ltd. (DP) with client ID as mentioned above.
2. Further I/We have trading account with Indo Thai Securities Ltd. (trading account codes mentioned above) for investment and trading purpose.
3. I/We find it extremely inconvenient to issue cheques for the depository bills and client Registration Charges etc for my / our BO account mentioned above.

Therefore I/We hereby authorize you to debit my / our Trading Account Maintained with Indo Thai Securities Ltd. , for the dues against my/our above BO a/c. for depository Bills and other charges. Any such sum credited to my/our DP account shall be binding on me/us.

Thanking You

Yours Faithfully,

Clients Signature 

Client Name

KYC FORM RECEIPT

To,

INDO THAI SECURITIES LIMITED

"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171,
PU-4, Scheme No. 54, **INDORE** - 452010 (M.P.)

Subject : Acknowledgement of Receipt of a Copy of KYC & Other Documents.

Dear Sir,

This is to acknowledge that I / We _____
with trading code _____ have received a copy of the duly completed
Client Registration Form (KYC) and all other mandatory and voluntary documents viz. Rights and Obligations
Documents, Risk Disclosure Documents (RDD), Guidance notes, Policies and Procedures, Terms and Conditions cum
Registration/Modification form for Receiving SMS alerts from CDSL, Terms and Conditions for availing Transaction
using Secured Texting (TRUST), as available on the website of the Company.

The above mentioned mandatory and voluntary documents are also provided on email ID provided by me in KYC
documents and copy of other documents executed by me/us as a client.

I / We hereby declare that I / We have the full intimation of trading code and email id for the purpose of receiving
electronic contract note and other.

Thanking you

Clients Signature  ② _____

Client Name _____

ACKNOWLEDGMENT RECEIPT

Application No.:

Date:

We hereby acknowledge the receipt of the Account Opening Application Form :

Name of the Sole / First Holder	
Name of Second joint Holder	
Name of Third joint Holder	

For **INDO THAI SECURITIES LTD.**

INDEX

S. No.	NAME OF DOCUMENTS	BRIEF SIGNIFICANCE OF THE DOCUMENTS	PAGE No.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form	A. Information about the Member / Broker B. KYC form - Document captures the basic information about the client and provides Instruction / Checklist relevant to opening of trading & Dmat Account	1 2-4
2.	Account Opening Form for Trading	This Document capture the additional information about the client for opening Trading & Dmat Account	5-11
3.	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s)	12
4.	Schedule of Charges for Depository Account	Document detailing the tariff scheme for Depository Account	13
5.	Rights and obligations of Beneficial Owner and Depository participant as prescribed by SEBI and Depositories	Document stating the Rights and Obligations of beneficial Owner and Depository Participant	14-15
6.	Risk Disclosure Documents (RDD)	Document detailing risks associated with dealing in the securities market.	Softcopy available on Website of the Company as well as be send on Email ID provided by the client
7.	Guidance Note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
8.	Policies and Procedures	Document describing significant policies and procedures of the stock broker	
9.	Rights and Obligations of Stock Brokers, Sub Brokers, and clients as prescribed by SEBI and Stock Exchanges	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).	
10.	Terms and Conditions cum Registration/ Modification form for Receiving SMS Alert from CDSL	Document describing Terms and Conditions for cum Registration/ Modification form for Receiving SMS Alert from CDSL	
11.	Terms and Conditions for availing Transaction using Secured Texting (TRUST)	Document describing Terms and Conditions for availing Transaction using Secured Texting (TRUST)	

VOLUNTARY DOCUMENT AS PROVIDED BY STOCK BROKER			
1.	Power of Attorney	This Document confers specific rights on INDO THAI for operating your Demat Account and for transferring the Shares for pay-in purpose only.	17-18
2.	Letter of Authority/Undertaking	Consent for Running Account, Acceptance to receive contract notes through e-mail/ electronically and authority to Authorised Person or Family Member	19-22
3.	Declaration for Name mismatch	To be filled if the name on the document is different	23

For Office use only Internal Track sheet

1. Receipt of form	<input type="checkbox"/> Branch Office	<input type="checkbox"/> Head Office
2. Verified by Sales Department	Name _____	(sign & date) _____
3. Account opening Department	Name _____	(sign & date) _____
4. Uploaded at CVLKRA	Name _____	(sign & date) _____
5. Uploaded at CKYC	Name _____	(sign & date) _____
6. Whether uploaded on terminal	Name _____	(sign & date) _____
7. Backoffice	Name _____	(sign & date) _____
8. Documents (mentioned in point no 6 to 11 above) sent through mail, welcome email and SMS	Send by _____	(log checked by) _____
9. Final Approved by	Name _____	(sign & date) _____



MEMBER OF :
NATIONAL STOCK EXCHANGE OF INDIA LTD. (NSE)
BOMBAY STOCK EXCHANGE LTD. (BSE)
METROPOLITAN STOCK EXCHANGE OF INDIA LTD. (MSEI)

REGISTERED OFFICE & CORRESPONDANCE ADDRESS :

"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4,

Scheme No. 54, **INDORE** - 452010 (M.P.)

• **Ph.:** (0731) 4255800 - 801

• **E-mail :** indothaigroup@indothai.co.in

• **Website :** www.indothai.co.in

- CLEARING MEMBER FOR NSE (F&O & CDS) - INDO THAI SECURITIES LTD. "CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4, Scheme No. 54, Indore - 452010 (M.P.)	- CLEARING MEMBER FOR BSE (F&O), MSEI (CDS) - GLOBE CAPITAL MARKET LTD. Regd. Off.: 710, Ansal Bhawan, 16, K.G. Marg, Cannaught Place, New Delhi - 110001
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INDO THAI SECURITIES LIMITED

COMPLIANCE OFFICER : Name : HEMANT AGRAWAL Phone No. : (0731) 4255813 E-mail : compliance@indothai.co.in	CHIEF EXECUTIVE OFFICER (CEO) Name : DHANPAL DOSHI Phone No. : (0731) 4255803 E-mail : dhanpaldoshi@indothai.co.in
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Exchange	Segment	SEBI Registration No.	Regd. Date
NSE	CM	INB 230776739	14-09-1995
	F&O	INF 230776739	08-06-2000
	CDS	INE 230776739	26-08-2008
BSE	CM	INB 010776731	23-04-2008
	F&O	INF 010776731	22-09-2010
MSEI	CDS	INE 260776739	29-09-2008

FOR ANY GRIEVANCE / DISPUTE

please contact

Indo Thai Securities Limited at the above address or

email id - compliance@indothai.co.in and Phone no. 0731-4255813

In case not satisfied with the response, please contact the concerned exchange(s) at

Exchange Name	Email ID	Phone No.
NSE	ignse@nse.co.in	Toll free : 1800220058 (022) 26598190 / (0731) 6725100 (Indore Office)
BSE	is@bseindia.com	022 - 22728097 / 22728517
	amit.keshri@bseindia.com (Indore Office)	9977069237 (Indore Office)
MSEI	investorcomplaints@msei.in	(022) 61129000 (Ext. 9028)

Disclosure on Proprietary Trading : We hereby disclose that we do client based business as well as Proprietary Trading.

Important Instructions:

- A) Fields marked with ** are mandatory fields.
 B) Please fill the form in English and in BLOCK letters.
 C) Please fill the date in DD-MM-YYYY format.
 D) Please read section wise detailed guidelines / instructions at the end.
 E) List of State / U.T code as per Indian Motor Vehicle Act, 1988 is available at the end.
 F) List of two character ISO 3166 country codes is available at the end.
 G) KYC number of applicant is mandatory for update application.
 H) For particular section update, please tick () in the box available before the section number and strike off the sections not required to be updated.

For office use only

(To be filled by financial institution)

Application Type* ☐ New ☐ Update
 KYC Number (Mandatory for KYC update request)
 Account Type* ☐ Normal ☐ Simplified (for low risk customers) ☐ Small

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

	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 (If any*)	<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	<div style="border: 1px solid black; padding: 5px; text-align: center;"> PHOTO </div>
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 Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

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

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

ISO 3166 Country Code of Jurisdiction of Residence*
 Tax Identification Number or equivalent (If issued by jurisdiction)*
 Place / City of Birth* ISO 3166 Country Code of Birth*

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

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

A- Passport Number	<input type="text"/>	Passport Expiry Date	<input type="text"/>
B- Voter ID Card	<input type="text"/>		
C- PAN Card	<input type="text"/>		
D- Driving Licence	<input type="text"/>	Driving Licence Expiry Date	<input type="text"/>
E- UID (Aadhaar)	<input type="text"/>		
F- NREGA Job Card	<input type="text"/>		
Z- Others (any document notified by the central government)	<input type="text"/>	Identification Number	<input type="text"/>
S- Simplified Measures Account - Document Type code	<input type="text"/>	Identification Number	<input type="text"/>

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* ☐ Residential / Business ☐ Residential ☐ Business ☐ Registered Office ☐ Unspecified
 Proof of Address* ☐ Passport ☐ Driving Licence ☐ UID (Aadhaar)
☐ Voter Identity Card ☐ NREGA Job Card ☐ Others
☐ Simplified Measures Account - Document Type code

Address

Line 1*	<input type="text"/>
Line 2	<input type="text"/>
Line 3	<input type="text"/>
District*	<input type="text"/>
Pin / Post Code*	<input type="text"/>
State / U.T Code*	<input type="text"/>
City / Town / Village*	<input type="text"/>
ISO 3166 Country Code*	<input type="text"/>

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

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

Line 1*																								
Line 2																								
Line 3																								
District*							Pin / Post Code*							State / U.T Code*			ISO 3166 Country Code*							

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

Same as Current / Permanent / Overseas Address details

Same as Correspondence / Local Address details

Line 1*																								
Line 2																								
Line 3																								
State*							ZIP / Post Code*							State / U.T Code*			ISO 3166 Country Code*							

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

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

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

<input type="checkbox"/> Addition of Related Person	<input type="checkbox"/> Deletion of Related Person	KYC Number of Related Person (if available*)																						
Related Person Type*	<input type="checkbox"/> Guardian of Minor	<input type="checkbox"/> Assignee	<input type="checkbox"/> Authorized Representative																					
Prefix	First Name						Middle Name						Last Name											
Name*																								

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

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

<input type="checkbox"/> A- Passport Number													Passport Expiry Date														
<input type="checkbox"/> B- Voter ID Card																											
<input type="checkbox"/> C- PAN Card																											
<input type="checkbox"/> D- Driving Licence													Driving Licence Expiry Date														
<input type="checkbox"/> E- UID (Aadhaar)																											
<input type="checkbox"/> F- NREGA Job Card																											
<input type="checkbox"/> Z- Others (any document notified by the central government)													Identification Number														
<input type="checkbox"/> S- Simplified Measures Account - Document Type code															Identification Number												

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

Date :

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

 Place :

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

 4

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLYDocuments Received ☐ Certified Copies**KYC VERIFICATION CARRIED OUT**

Date												
Emp. Name												
Emp. Code												
Emp. Designation												
Emp. Branch												

BY INSTITUTION DETAILS

Name												
Code												

CENTRAL KYC REGISTRY | Instructions / Check list / Guidelines for filling Individual KYC Application Form**General Instructions:**

- 1 Fields marked with '*' are mandatory fields.
- 2 Tick ' ' wherever applicable.
- 3 Self-Certification of documents is mandatory.
- 4 Please fill the form in English and in BLOCK Letters.
- 5 Please fill all dates in DD-MM-YYYY format.
- 6 Wherever state code and country code is to be furnished, the same should be the two-digit code as per Indian Motor Vehicle, 1988 and ISO 3166 country code respectively list of which is available at the end.
- 7 KYC number of applicant is mandatory for updation of KYC details.
- 8 For particular section update, please tick (?) in the box available before the section number and strike off the sections not required to be updated.
- 9 In case of 'Small Account type' only personal details at section number 1 and 2, photograph, signature and self-certification required.

A Clarification / Guidelines on filling 'Personal Details' section

- 1 Name: Please state the name with Prefix (Mr/Mrs/Ms/Dr/etc.). The name should match the name as mentioned in the Proof of Identity submitted failing which the application is liable to be rejected.
- 2 Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

B Clarification / Guidelines on filling details if applicant residence for tax purposes in jurisdiction(s) outside India

- 1 Tax identification Number (TIN): TIN need not be reported if it has not been issued by the jurisdiction. However, if the said jurisdiction has issued a high integrity number with an equivalent level of identification (a "Functional equivalent"), the same may be reported. Examples of that type of number for individual include, a social security/insurance number, citizen/personal identification/services code/number, and resident registration number)

C Clarification / Guidelines on filling 'Proof of Identity [Pol]' section

- 1 If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- 2 Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.
- 3 In case of Simplified Measures Accounts for verifying the identity of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 3 (S).

Document Code	Description
01	Identity card with applicant's photograph issued by Central/ State Government Departments, Statutory/ Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, and Public Financial Institutions.
02	Letter issued by a gazetted officer, with a duly attested photograph of the person.

D Clarification / Guidelines on filling 'Proof of Address [PoA] - Current / Permanent / Overseas Address details' section

1. PoA to be submitted only if the submitted Pol does not have an address or address as per Pol is invalid or not in force.
2. State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
3. In case of Simplified Measures Accounts for verifying the address of the applicant, any one of the following documents can also be submitted and undernoted relevant code may be mentioned in point 4.1.

Document Code	Description
01	Utility bill which is not more than two months old of any service provider (electricity, telephone, post-paid mobile phone, piped gas, water bill).
02	Property or Municipal Tax receipt.
03	Bank account or Post Office savings bank account statement.
04	Pension or family pension payment orders (PPOs) issued to retired employees by Government Departments or Public Sector Undertakings, if they contain the address.
05	Letter of allotment of accommodation from employer issued by State or Central Government departments, statutory or regulatory bodies, public sector undertakings, scheduled commercial banks, financial institutions and listed companies. Similarly, leave and license agreements with such employers allotting official accommodation.
06	Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India.

E Clarification / Guidelines on filling 'Proof of Address [PoA] - Correspondence / Local Address details' section

1. To be filled only in case the PoA is not the local address or address where the customer is currently residing. No separate PoA is required to be submitted.
2. In case of multiple correspondence / local addresses, Please fill 'Annexure A1'

F Clarification / Guidelines on filling 'Contact details' section

1. Please mention two- digit country code and 10 digit mobile number (e.g. for Indian mobile number mention 91-9999999999).
2. Do not add '0' in the beginning of Mobile number.

G Clarification / Guidelines on filling 'Related Person details' section

1. Provide KYC number of related person if available.

H Clarification / Guidelines on filling 'Related Person details – Proof of Identity [Pol] of Related Person' section

1. Mention identification / reference number if 'Z- Others (any document notified by the central government)' is ticked.



ACCOUNT OPENING FORM FOR TRADING & DEPOSITORY

Group Code & Name: _____ City _____ Remiser Code & Name: _____

[illegible]

I/We request you to open a ☒ Trading & Demat Account ☐ Trading Account (Please fill all the details in CAPITAL LETTERS only)

A. TYPE OF ACCOUNT INDIVIDUAL (Please tick whichever is applicable)

Resident ☐ Promoter ☐ Margin ☐ Others (specify) _____

B DETAILS OF ACCOUNT HOLDERS

[illegible]

Second Holder

[illegible]

C. STANDING INSTRUCTIONS

1.	Consent to receive standard account opening documents in electronic form	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Consent to receive credits automatically into my/our Account. (If not ticked, the default option would be “Yes”)	<input type="checkbox"/> Yes <input type="checkbox"/> No.
3.	Account to be operated through power of attorney (POA)	<input type="checkbox"/> Yes <input type="checkbox"/> No.
4.	Consent to send Electronic Transaction-cum-Holding Statement at Sole/First Holder’s email id stated in the KYC	<input type="checkbox"/> Yes <input type="checkbox"/> No.
5.	Consent to share the email ID with the RTA	<input type="checkbox"/> Yes <input type="checkbox"/> No.
6.	Consent to avail of the facility of internet trading / wireless technology	<input type="checkbox"/> Yes <input type="checkbox"/> No.
7.	Mode of receiving Annual Reports & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic <input type="checkbox"/> Both Physical & Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Demat Account)	
8.	Mode of receiving Contract Notes & Statement of Accounts <input type="checkbox"/> Physical <input type="checkbox"/> Electronic (For all online clients or if not ticked, the default option would be Electronic) (Applicable for Trading Account)	
9.	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	

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER																								
Gross Income Range PerAnnum (Rs. in Lakhs)	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> >1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> >1cr	<input type="checkbox"/> <1 <input type="checkbox"/> 1-5 <input type="checkbox"/> 5-10 <input type="checkbox"/> 10-25 <input type="checkbox"/> 25-1cr <input type="checkbox"/> >1cr																								
Networth: (should not be older than 1 year)	Amount (Rs.) _____ As on date <table border="1"> <tr> <td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr> </table>	d	d	m	m	y	y	y	y	Amount (Rs.) _____ As on date <table border="1"> <tr> <td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr> </table>	d	d	m	m	y	y	y	y	Amount (Rs.) _____ As on date <table border="1"> <tr> <td>d</td><td>d</td><td>m</td><td>m</td><td>y</td><td>y</td><td>y</td><td>y</td></tr> </table>	d	d	m	m	y	y	y	y
d	d	m	m	y	y	y	y																				
d	d	m	m	y	y	y	y																				
d	d	m	m	y	y	y	y																				
Sources of Wealth / Income	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> Salary <input type="checkbox"/> Business <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Royalty <input type="checkbox"/> Prize Money <input type="checkbox"/> Ancestral Property <input type="checkbox"/> Others (Please specify) _____																								
Details in case of Employed /Business / Professional (Name of Employer / Establishment & Address & Nature of Business)	Name & Add. : _____ _____ _____ Nature : _____	Name & Add. : _____ _____ _____ Nature : _____	Name & Add. : _____ _____ _____ Nature : _____																								
Additional Details, if applicable. (Please tick one or more as applicable)	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)	<input type="checkbox"/> Politically Exposed Person(PEP) <input type="checkbox"/> Related to a Politically Exposed Person (RPEP)																								
Any other information																											

(5)

	FIRST HOLDER	SECOND HOLDER	THIRD HOLDER
Mobile Number Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Mobile number as per KRA/ KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per KRA/ KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No	I hereby declare that the Mobile number as per KRA/ KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents Consent for SMS Alert facility <input type="checkbox"/> Yes <input type="checkbox"/> No
Email ID Declaration (*Family to strictly include spouse, dependent children and dependent parents only. Kindly tick relevant option)	I hereby declare that the Email ID as per KRA/KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email ID as per KRA/KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents	I hereby declare that the Email ID as per KRA/KYC belongs to <input type="checkbox"/> Self OR <input type="checkbox"/> Family*(specify relation) <input type="checkbox"/> Spouse <input type="checkbox"/> Dependent Children <input type="checkbox"/> Dependent Parents
FATCA Declaration			
Is your Tax Residency/ Country of Birth /Citizenship /Nationality other than India?	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____	<input type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, please specify) Country of Birth _____ Citizenship _____ Nationality _____
If yes, please indicate all countries in which your are resident for tax purpose and the associated Tax ID number below:			
Country of Tax Residency#			
Tax Identification Number*			
Identification Type			
Country of Tax Residency#			
Tax Identification Number*			
Identification Type			
#To include all countries other than India, where investor is Citizen/Resident/Green Card Holder/Tax Resident in those respective countries especially of USA. *Incase tax identification number is not available, kindly provide its functional equivalent			

D. OPTION FOR ISSUANCE OF DIS BOOKLET (*Please refer to the details in Tariff Sheet)

Option 1 : ☐ I/we wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.

Option 2 : ☐ I/we do not wish to receive the Delivery Instruction Slip (DIS) booklet with account opening. However, the DIS booklet should be issued to me/us immediately onmy/our request at any later date.

Details of disputes / dues pending from / to such Stock Broker / Sub-broker / Authorised Person :
 Whether Employee / Agent / Approved user / Authorised Person / Sub Broker of any other *Trading / Clearing Member : (*Member in equity or commodity Exchange/s) Yes No Name of Member _____ (Please provide consent letter from such Trading /Clearing Member)

Whether Broker of any Exchange ☐ Yes ☐ No Name of Exchange/s _____ (Please provide consent letter from such Exchange/s)

Whether Declared Defaulter/debarred/suspended By SEBI/FMC/RBI/ANY Other Recognized Stock Exchange/Commodity Exchange: ☐ Yes ☐ No

Details of any action/proceedings initiated/pending/taken by SEBI/Stock Exchange/any other authority against the Client during the last 3 years for violation of securities law/other economic offences (including action taken against relatives/associates) _____

E. INVESTMENT/TRADING EXPERIENCE & PREFERENCE

☐ No Prior Investment Experience ☐ Years in Equities ☐ Years In Derivatives ☐ Years in other Investment Related Field

F. BANK ACCOUNT DETAILS

DEFAULT BANK	ADDITIONAL BANK
Name & Address : _____	Name & Address : _____
Account No.	Account No.
Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____	Account Type <input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Other: _____
MICR Code	MICR Code
IFSC Code	IFSC Code

Depository : NSDL ☐ CDSL ☐ DP Name: _____
Beneficiary Name: _____ DP ID: | | | | | | | | BO ID: | | | | | | | |

Name of Sub-broker/Authorised Person : _____

Registration No: NSE BSE MSEI

R.O. Address: _____ Tel.: _____ Fax: _____ Website: _____

Whether registered with any other Stock Broker / Sub-broker/AuthorisedPerson (If registered with multiple StockBroker/Sub-broker, provide all details)

Name of Broker: _____ Name of Sub Broker/AP: _____

Name of Exchange: _____ Client Code No.: _____







Name & Address of the Introducer:

Status of the Introducer: Sub-broker/ Remisier/ Authorised Person/ Existing Client/ Director or Employee of Trading Member/ any other Person
(Please Specify) _____ Mobile No. / Tel. No.: | | | | | | | |

Proof of Identity (POI): ☐ PAN No. ☐ Passport No. ☐ Driving Licence ☐ Voter ID | | | | | | | |

Signature: _____

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

Exchanges	Segments	Signature	Segments	Signature
NSE	Cash	 5	Future & Options	 9
BSE	Cash	 6	Future & Options	 10
NSE(CDS)	Currency Derivatives	 7		
MSEI	Currency Derivatives	 8		

If in future the client wants to trade on any new segments / new exchange, seprate authorisation letter should be submitted by the client to the stock broker.




☐ I/We wish to make a nomination and do hereby nominate the person who is (mentioned in point no. "O") entitled to receive securities / fund / Mutual fund units balances lying in my/our account, particulars whereof are provided in the event of my/our death.

☐ I/ We do not wish to nominate any one for this Demat Account, Trading Account & Mutual Fund and consequently all rights and liabilities in respect of beneficiary ownership in the Securities/Funds/Mutual Fund units held by me/us shall vest in me/us.

L. SMS Alert facility Refer to Terms and Conditions (provided on website of the company)	Mobile No. +91 _____ (Mandatory, if you are giving Power of Attorney {POA}) (If POA is not granted and you do not wish to avail this facility, ignore this option)											
M. Transaction Using Secured texting facility (Trust) Refer to Terms and Conditions (provided on website of the company)	I wish to avail the TRUST facility using the mobile no. registered for SMS Alert facility. I have read and understood the terms and conditions prescribed by CDSL for the same. Yes <input type="checkbox"/> No <input type="checkbox"/> I/We wish to registered the following clearing member IDs under my/our below mention BO ID registered for TRUST <table border="1" data-bbox="529 1921 1482 2027"> <thead> <tr> <th data-bbox="529 1921 841 1953">Stock Exchange Name / ID</th> <th data-bbox="841 1921 1157 1953">Clearing Member Name</th> <th data-bbox="1157 1921 1482 1953">Clearing Member ID (Optional)</th> </tr> </thead> <tbody> <tr> <td data-bbox="529 1953 841 1986"> </td> <td data-bbox="841 1953 1157 1986"> </td> <td data-bbox="1157 1953 1482 1986"> </td> </tr> <tr> <td data-bbox="529 1986 841 2027"> </td> <td data-bbox="841 1986 1157 2027"> </td> <td data-bbox="1157 1986 1482 2027"> </td> </tr> </tbody> </table>			Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)						
Stock Exchange Name / ID	Clearing Member Name	Clearing Member ID (Optional)										
N. Easi	To Register for easi, please visit our website www.cdslindia.com easi allow a BO to view his ISIN balances, transactions and value of the portfolio online											

DECLARATION

1. I/we hereby declare that the details furnished above are true and correct to the best of my knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case of any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I may be held liable for it.
2. I/we confirm having read, explained and understood the contents of policies and procedures, terms & conditions governing Stock Broker, Risk Disclosure Documents & Do's & Don't's for trading on the Exchanges, Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants as available on the website i.e. www.indothai.co.in of the company. I am further aware that a copy of terms & conditions governing Stock Broker, Risk Disclosure Document, Do's & Don't's for trading on the Exchanges and Rights and Obligations applicable for Stock Brokers, Sub-Brokers & Clients as well as Rights and Obligations applicable for the Beneficial Owner & Depository Participants will be received by me/us in electronic form on the email ID provided by me / us in the KYC Document.
3. I/we have read and agree to be bound by the Rules, Regulations, bye laws, circulars and guidelines issued by SEBI, Exchanges, Stock Broker, AMFI, Mutual Funds, Depository and Depository Participant pertaining to my trading and demat account, as are in force from time to time.
4. I/We understand that the Stock Broker is relying on this information for the purpose of determining the status of the applicants named above in compliance with CRS/FATCA. The Stock Broker is not able to offer any tax advice on CRS or FATCA or its impact on the applicants and I/We shall seek advice from professional tax advisor for any tax questions. Further, I/We agree to submit a new form within 30 days if any information or certification on this form gets changed. I/We agree, as may be required by Regulatory authorities, Stock Broker shall be required to comply to report, reportable details to CDBT or close or suspend my account.
5. I/we confirm having read and understood the guidelines pertaining to BSDA and is eligible to open a depository account as a BSDA holder. I will comply with the said guidelines and that in case my/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 (applicable only if consented for BSDA facility).

	Name(s) of holder(s)/client	Specimen Signature of holder(s)/client
Sole/First Holder/Guardian		
Second Holder		
Third Holder		

Date: _____ Place: _____

O. NOMINATION FORM

Photograph of Nominee Signature of Nominee / Guardian across Photograph	Name of the 1st Nominee (Mr./Ms./Mast.) _____																														
	Share of each Nominee : <input type="checkbox"/> Equally [If not equally, please specify percentage] _____ %																														
	Residual share payable <input type="checkbox"/> Yes <input type="checkbox"/> No																														
	Relationship with the Applicant (If Any) _____	DOB: <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																													
*Address of the nominee _____ _____ PIN _____																															
Tel.: / Mobile No.: _____ Email ID: _____																															
Nominee Identification Details [Please tick any one of following and provide details of same] PAN <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																															
UID <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> Demat account details of nominee DP ID <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table> Client ID <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																															

Saving Bank Account No. _____ Copy of any proof ID : _____ Signature of Nominee: 

As the nominee is a minor as on date, to receive to the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. I/We appoint following person to act as Guardian:

Photograph of Nominee Signature of Nominee / Guardian across Photograph	Name of the Guardian (Mr./Mrs.) _____	Relationship with the Guardian (If Any) _____	DOB: <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>
	*Address of the Guardian _____		

	Tel.: / Mobile No.: _____ Email ID: _____		
Guardian Identification Details [Please tick any one of following and provide details of same]			
UID <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"/>	
Demat account details of nominee DP ID <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"/>		Client ID <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"/>	
Saving Bank Account No. _____		Copy of any proof ID: _____	
		Signature of Guardian :	

Photograph of Nominee Signature of Nominee / Guardian across Photograph	Name of the 2nd Nominee (Mr./Ms./Mast.) _____																																
	Share of each Nominee : <input type="checkbox"/> Equally <input type="checkbox"/> [If not equally, please specify percentage] _____ %																																
	Residual share payable <input type="checkbox"/> Yes <input type="checkbox"/> No																																
	Relationship with the Applicant (If Any) _____ DOB: <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table>																																
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	Saving Bank Account No. _____ Copy of any proof ID : _____ Signature of Nominee :																																

As the nominee is a minor as on date, to receive to the securities in this account on behalf of the nominee in the event of the death of the Sole holder / all Joint holders. I/We appoint following person to act as Guardian:

Photograph of Nominee Signature of Nominee / Guardian across Photograph	Name of the Guardian (Mr./Mrs.) _____ Relationship with the Guardian (If Any) _____ DOB: <table border="1" style="display: inline-table; width: 100px; height: 20px; vertical-align: middle;"></table>
*Address of the Guardian _____ _____ PIN _____	Tel.: / Mobile No.: _____ Email ID: _____
Guardian Identification Details [Please tick any one of following and provide details of same]	
UID <table border="1" style="display: inline-table; width: 150px; height: 20px;"></table>	Demat account details of nominee DP ID <table border="1" style="display: inline-table; width: 100px; height: 20px;"></table>
Client ID <table border="1" style="display: inline-table; width: 150px; height: 20px;"></table>	
Saving Bank Account No. _____ Copy of any proof ID : _____	
Signature of Guardian :	

Photograph of Nominee Signature of Nominee / Guardian across Photograph	Name of the 3rd Nominee (Mr./Ms./Mast.) _____ Share of each Nominee : Equity <input type="checkbox"/> [If not equally, please specify percentage] _____ % Residual payable <input type="checkbox"/> Yes <input type="checkbox"/> No Relationship with the Applicant(If Any) _____ DOB: <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> *Address of the nominee _____ _____ PIN _____ Tel.: / Mobile No.: _____ Email ID: _____ Nominee Identification Details [Please tick any one of following and provide details of same] PAN <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> UID <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> Demat account details of nominee DP ID <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> Client ID <table border="1" style="display: inline-table; border-collapse: collapse;"><tr><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td><td style="width: 20px; height: 20px;"></td></tr></table> Saving Bank Account No. _____ Copy of any proof ID : _____ Signature of Nominee :																																																

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Photograph of Nominee Signature of Nominee / Guardian across Photograph	Name of the Guardian (Mr./Mrs.) _____																																																																																	
	Relationship with the Guardian (If Any) _____	DOB: <table border="1"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table>																																																																																
	*Address of the Guardian _____																																																																																	
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Tel.: / Mobile No.: _____		Email ID: _____																																																																																
Guardian Identification Details [Please tick any one of following and provide details of same]																																																																																		
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Saving Bank Account No. _____ Copy of any proof ID : _____ Signature of Guardian: 

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

(To be filled by DP) Nomination Form accepted and registered wide Registration No. _____ dated _____

Name of Witness for Nomination	Address of Witness	Signature of Witness
		Date :

Name(s) of Holder(s)	Signature(s) of holder
Sole/First Holder/Guardian (in case sole holder of Witness is minor (Mr./Ms.))	
Second Holder (Mr./Ms.)	
Third Holder (Mr./Ms.)	

INSTRUCTIONS :

- Instructions related to nomination, are as below :
 - The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly.
 - A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
 - The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be nominee, subject to the exchange controls in force, from time to time.
 - Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
 - Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the participant against the legal heir.
 - The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. If the beneficiary owner account is held jointly, all joint holders will sign the cancellation form.
 - On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee.
- Nomination can be made upto three nominees in demat accounts. In case of multiple nominees the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the Nominee Form at the time of nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.
- Please choose any one nominee who will be credited with residual securities remaining after distribution of securities as per percentage of allocation. If you fail to choose one such nominee, then the [Strike out what is not applicable.] [Signatures of all account holders should be obtained on this form.]

FOR OFFICE PURPOSES

UCC Code allotted to the Client:

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Staff/ Sub-Broker/ Authorised Person			
Staff Code			
Designation of the Staff			
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) of stock broker and depository participant, RDD and guidance note and terms and conditions provided a softcopy of the same. 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', Terms and Conditions and RDD would be made available on our website, if any, for the information of the clients.

For : **Indo Thai Securities Ltd.**

Signature of Authorised Signatory

Date : ____/____/____

INSTRUCTIONS / CHECK LIST	
1. Additional documents in case of trading in derivatives segments - illustrative list: Copy of	
Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement.	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents.

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.
3. Demat master or recent holding statement issued by DP bearing name of the client.
4. Verification:
 - 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.

TARIFF SHEET
EQUITY CASH SEGMENT

CASH				
BROKERAGE	NSE		BSE	
	Normal %	Minimum Paisa	Normal %	Minimum Paisa
Daily Square up				
Delivery Based				

FUTURES	EQUITY (FUTURES) DERIVATIVES SEGMENT			
BROKERAGE	NSE FUTURES		BSE FUTURES	
	Normal %	Minimum Paisa	Normal %	Minimum Paisa
Daily Square up				
Carry Forward				

OPTIONS	EQUITY (OPTIONS) DERIVATIVES SEGMENT			
BROKERAGE	NSE OPTIONS		BSE OPTIONS	
	Minimum Rs. Per Lot	Normal %	Minimum Rs. Per Lot	Normal %
Daily Square up				
Carry Forward				

FUTURES & OPTIONS	CURRENCY DERIVATIVES SEGMENT							
BROKERAGE	NSE (FUTURES)		MSEI (FUTURES)		NSE (OPTIONS)		MSEI (OPTIONS)	
	Mini. Rs.	Normal %	Min.Rs.	Normal %	Min.Rs.	Normal %	Min.Rs.	Normal %
Daily Square up								
Carry Forward								
Per Lot								

OTHER CHARGES

(Includes applicable Securities Transactions Tax, SEBI Turnover Fees,
Stamp Duty and Exchange Transaction Charges)

BROKERAGE	NSE					BSE			MSEI	
	Cash	Futures	Options	CDS-Fut.	CDS-Opt	Cash	Futures	Options	Futures	Options
Daily Square up										
Delivery Based										
Carry Forward										
Per Lot										

NOTES :

1. In Addition to above, Service Tax as applicable (including cess) on brokerage charged to client is payable by client.
2. In case of sale of option in securities, where option is exercised STT is payable@0.125% on trade value.
3. All statutory levies mentioned above are subject to change from time to time by relevant authority (ies).

Signature of Client  _____

Name of Client _____

Date _____ Place _____



INDO THAI SECURITIES LTD.

CDSL DP ID : 12050900

IndoThai
trade with confidence

Schedule of Charges for Depository Account

S. No.	Particulars	Tariff-BSDA a/c (With or without POA)	Tariff-Scheme A (With or without POA)	Tariff-Scheme B (With POA)	Tariff-Scheme C (With POA)	Tariff-Scheme D (With POA)
1.	KYC & Stationary charges	Nil	Nil	Nil	Nil	Nil
2.	Stamp & Legal Charges	Nil	Nil	Nil	Nil	Nil
3.	POA Stamp & Legal charges	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-	Rs.100/-
4.	Annual Account Maintenances charges					
4 A	Resident Individual	For holding values up to Rs. 50,000/- Nil For value above Rs. 50,000/- up to Rs. 2,00,000/- Rs. 100/- For value above Rs. 2,00,000/- Rs. 300/- P.A.	Rs.300/- P.A.	Rs.655/- for 3 Years	Rs.999/- for 5 Years	Interest free Deposit of Rs. 10,000/- non refundable
4 B	Non Resident India (NRI)	NA	Rs. 1500/- P.A.	Rs. 1500/- P.A.	Rs. 1500/- P.A.	Rs. 1500/- P.A.
5.	D-mat Charges	Rs. 20/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.	Rs. 20/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.	Rs. 20/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.	Rs. 20/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.	Rs. 20/- Per Certificate+ Courier Charges Rs.50/-, Min. 10/- per request.
6.	R-mat Charges	Rs. 25/- per certificate for every 100 securities or part there of, whichever is higher, Max. Rs.5,00,000/-+ Rs. 50/- courier charges.	Rs. 25/- per certificate for every 100 securities or part there of, whichever is higher, Max. Rs.5,00,000/-+ Rs.50/- courier charges.	Rs. 25/- per certificate for every 100 securities or part there of, whichever is higher, Max. Rs.5,00,000/-+ Rs. 50/- courier charges.	Rs. 25/- per certificate for every 100 securities or part there of, whichever is higher, Max. Rs.5,00,000/-+ Rs. 50/- courier charges.	Rs. 25/- per certificate for every 100 securities or part there of, whichever is higher, Max. Rs.5,00,000/-+ Rs. 50/- courier charges.
7.	Transaction Charges : (Per ISIN) Purchase/Credit	Nil	Nil	Nil	Nil	Nil
7A	Transaction Charges (Per ISIN) Sell within Indo Thai Group	Rs.50/- or 0.50% of Market Value (With POA), Rs. 75/- or 0.50% of Market Value (Without POA) whichever is higher	Rs.10/- or 0.03% of Market Value (With POA), Rs. 20/- or 0.03% of Market Value (Without POA)	Rs.10/- or 0.03% of Market Value	Rs.10/- or 0.03% of Market Value	Nil
7B	Transaction Charges:	Rs.75/- or 1.00% of Market Value	Rs.20/- or 0.03% of Market Value	Rs.30/- or 0.03% of Market Value	Rs.30/- or 0.03% of Market Value	Rs.30/- or 0.03% of Market Value
8.	Pledge Creation (Per ISIN)	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-
9.	Pledge Closing (Per ISIN)	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-
10.	Pledge Invocation (Per ISIN)	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-	Min. Rs. 50/-
11.	Free Statement of Account	Quarterly in case of any Transaction, otherwise yearly	In case of Transaction-Monthly for Nil Transactions Yearly	In case of Transaction-Monthly for Nil Transactions Yearly	In case of Transaction-Monthly for Nil Transactions Yearly	In case of Transaction-Monthly for Nil Transactions Yearly
12.	Extra Statement on Request	Rs. 25/- for Physical Statement, Nil for electronic Statement	Rs. 25/- for Physical Statement, Nil for electronic Statement	Rs. 25/- for Physical Statement, Nil for electronic Statement	Rs. 25/- for Physical Statement, Nil for electronic Statement	Rs. 25/- for Physical Statement, Nil for electronic Statement

Notes :

- All the charges would be calculated for the transactions as Computed by CDSL.
- All taxes / levies / Cess as applicable will be charged extra.
- Annual Maintenance Charges are due for 7 days or more, the execution of delivery instructions may be stopped.
- In case the outstanding charges are due for 7 days or more, the execution of delivery instructions may be stopped.
- Rs.50/- will be charged for issue of new DIS booklet in lieu of the one lost by BO
- Failed instruction Rs. 10/-
- Freeze and unfreeze charges Rs.50/-
- On request of loose DIS charges will be Rs.20/-
- Rates are subject to revision from CDSL, Further Indo Thai Securities Limited reserves the right to amend the tariff at any given point of time.
- Client master modification charges Rs. 50/- per request.

BO ID No : 12050900

Client Trading Code No.

I / We opt for the Tariff Scheme

☐ BSDA ☐ A ☐ B ☐ C ☐ D (Tick as applicable)

Signature/s BO

1st Holder 

2nd Holder 

3rd Holder 

/ We agree & enclose a Cheque No. _____ Dated _____ of Rs. _____

Drawn on bank _____ against above option.

**RIGHTS AND OBLIGATIONS OF BENEFICIAL OWNER AND DEPOSITORY PARTICIPANT AS
PRESCRIBED BY SEBI AND 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.

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

1st Holder  (16)

2nd Holder 

3rd Holder 




VOLUNTARY DOCUMENTS

VOLUNTARY DOCUMENTS	POWER OF ATTORNEY
<div style="border: 1px solid black; width: 80px; height: 40px; margin: 0 auto; display: flex; align-items: center; justify-content: center;"> STAMP </div>	

(To be signed only by clients having their trading account with in Indo Thai Securities Ltd.)


Power of attorney for pay-in of securities for the purpose of settlement obligation

To all to whom these present shall come I / We _____ whereas

I/We hold a Beneficiary Owner Account No. 12050900 _____ (BO-ID) with Central Depository Services (India) Limited, through Indo Thai Securities Ltd, bearing DP-ID-12050900 and whereas I/We am /are an investor (s) engaged in buying and selling of securities through Indo Thai Securities Ltd a member of **NSE (SEBI Regd. No. INB 230776739), BSE(SEBI Regd. No. INB010776731)** and Trading Account (client code) _____ and whereas due to exigency and paucity of time, I/ We am/are desirous of appointing an agent /attorney to operate the aforesaid beneficiary account on my /our behalf for a limited purpose in the manner hereinafter appearing.  _____

NOW KNOW WE ALL AND THESE PRESENTS WITNESS THAT I/WE THE ABOVE NAMED DO HEREBY NOMINATE CONSTITUTE AND APPOINT INDO THAI SECURITIES LTD. as my/our true and lawful attorney (hereinafter referred to as the attorney) for me /us and on my/our name to do, at my/our risk and costs, the all such acts, deeds and things and exercise the following powers and authorities and give all such instructions as mentioned below concerning the said account as I/we myself/ ourselves could give if I/we was/were personally present.

1. To instruct the DP to debit securities to said account and/ or transfer securities from the said account, to the extent of shares sold through Indo Thai Securities Limited for pay-in/settlement obligations as well as for margins toward any stock exchange both in cash and derivatives segments to any of the demat account(s) existing as of the day or which maybe opened in future by Indo Thai Securities Limited for above purpose(s). The details of accounts are as under:

S.No.	DP Name	Account Type	D.P. ID	CLIENT ID	Signature
1	Indo Thai Securities Ltd.	Pool a/c	12050900	00000305	
2	Indo Thai Securities Ltd.	Client Beneficiary A/c	12050900	00000324	
3	Indo Thai Securities Ltd.	Principal a/c	12050900	00019124	
4	Indo Thai Securities Ltd.	Early pay-in (NSE)	11000011	00016871	
5	Indo Thai Securities Ltd.	Early pay-in (BSE)	11000010	00020744	

2. To return the securities to me/my accounts by Indo Thai Securities Ltd.(as stock broker) that may have been received by it (i.e., stock broker) erroneously or those securities that it (i.e., stock broker) was not entitled from me.
3. To authorize Indo Thai Securities Ltd. To send in a daily basis, consolidated summary of my scrip-wise buy and sell position taken with average rates to me by way SMS/email on my mobile phone/email, if any, as intimated by me from time to time, notwithstanding any other document to be disseminated as specified by SEBI from time to time. And I/we hereby agree and reconfirm that the above powers and authorities shall include the authority to debit securities to the said account and/or transfer securities from the said account and/ or transfer securities from the said account, to the extent of shares and sold through Indo Thai Securities Ltd. for pay-in obligations well as for margins toward any stock exchange
 - i. For which new membership is taken and/or
 - ii. For which any new account is opened

by Indo Thai Securities Ltd., both in cash and derivatives segments. The account number/s of such account numbers shall form a part of this POA.

And further I/we hereby agree and confirm that the powers and authorities conferred by this "Power of Attorney" shall continue until I/we have given intimation in writing to the contrary, to the DP. However such revocation shall not be applicable for any outstanding margin/delivery obligation arising out of the trades carried out prior to receiving request for revocation POA.

I/ we the above named do hereby further nominate, constitute and appoint Indo Thai Securities Ltd. as my/our true and lawful Attorney (s) [herein after referred to as "The Attorney (s)" for me/us and on my /our behalf and in my/our name to do, at my/our risk and costs, the all such acts, deeds and things and exercise the following powers and give all such instructions as mentioned below concerning the said account as I/we myself/ourselves could give if I/we was/ were personally present.

2. To return the securities to me/my accounts by Indo Thai Securities Ltd.(as stock broker) that may have been received by it (i.e., stock broker) erroneously or those securities that it (i.e., stock broker) was not entitled from me.
3. To authorize Indo Thai Securities Ltd. To send in a daily basis, consolidated summary of my scrip-wise buy and sell position taken with average rates to me by way SMS/email on my mobile phone/email, if any, as intimated by me from time to time, notwithstanding any other document to be disseminated as specified by SEBI from time to time. And I/we hereby agree and reconfirm that the above powers and authorities shall include

(Signed and Delivered - by the within named)

1st holder  _____

2nd holder  _____

3rd holder  _____

Witness 1. Signature _____ Witness2. Signature _____

Name _____ Name _____

Address _____ Address _____

Place : _____

Date : ____/____/____

Registration No.: _____

For **INDO THAI SECURITIES LTD.**

To,
INDO THAI SECURITIES LIMITED
"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4,
 Scheme No. 54, **INDORE** - 452010 (M.P.)
 Dear Sir,

1. Mandate to issue contracts in Digital format and ECN Consent

I/We hereby agree and consent to accept the contract notes for transactions carried on by me/us with you, in terms of the mandatory and voluntary client registration document entered into between us, in Digital form, Digital contracts issued by you as per the terms and conditions mentioned at the end of this letter shall be binding on me. I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes. Non verification or not accessing the contract notes on regular basis shall not be reason for disputing the contract notes at any time. This instruction to issue digital contract note is applicable with immediate effect.

ECN Consent : I/We hereby authorize you to send all my contract notes, bills, other Delivery Position, ledger statement to my/our below mention e-mail id therefore please do not dispatch physical copy of my contract notes / bills / ledger statement at my postal address.

My/our E-mail ID is _____

Alternate E-mail ID is _____

(Any change in E-mail ID shall be communicated by me / us through a physical letter to you)

2. Authority to debit the demat accounting charges

Beneficiary Client ID _____

Trading Account Code _____

We have a beneficiary & trading account with Indo Thai Securities Limited with client ID & trading code as mentioned above for investment and trading purpose. I hereby authorize you to debit the trading account maintained with Indo Thai Securities Ltd. for the demat charges payable to Indo Thai Securities Ltd., As depository participant for providing depository services any such sum debited to my/our account shall be binding on me/us.

3. I/We are dealing in Securities with you at NSE, BSE & MSEI in CM/Derivatives & Currency Derivatives Segment in order to facilitate ease of operations, I/We authorised you as under :

- a. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation.
- b. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/we instruct you to transfer the same to my/our account.
- c. I/We request you to settle my fund and securities account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipts & in the case of margin trading facility also, as below:

Calendar Quarter ☐

Calendar Month ☐

- d. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

- e. 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 preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

I/We confirm you that I can revoke the above mentioned authority at any time by giving written notice to your registered office.

- f. Transfer my/our debit/credit balance to my/our another account maintained in capital market with you.

- g. I do not require separate confirmation slip for order/trade alteration/modification/cancellation/confirmation.

- h. I also authorised you debit the delay payment charges for the debit balance in my account & not settled as per exchange norms.

Client's Signature  (20) _____ Client Code _____

Name of Client _____ Date : _____

Dear Customer,

Thank you for opting our offer to send you the contract notes in the digital Form. For availing the facility of digital contract notes following are the terms and conditions. Please sign it as an acceptance to it.

1. The Digital Contract notes will be issued in digital form in compliance with guidelines issued by SEBI/Exchange from time to time.
2. Digital Contract notes will be mailed at the E-mail address provided to us in KYC and / or the format as may be prescribed by the Exchange from time to time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent to the branch or to email ID - compliance@indothai.co.in preferably within 24 hours of issuance of digital contract notes.
5. Any changes in the terms and conditions shall be intimated from time to time
6. Digital contact notes will also be available at www.indothai.co.in Client can view the ECN using the user name & password through the above website.

 (21)

To,

INDO THAI SECURITIES LIMITED

"CAPITAL TOWER" 2nd Floor, Plot No. 169A-171, PU-4,

Scheme No. 54, INDORE - 452010 (M.P.)

Dear Sir,

1. Mandate to issue contracts in Digital format and ECN Consent

I/We hereby agree and consent to accept the contract notes for transactions carried on by me/us with you, in terms of the mandatory and voluntary client registration document entered into between us, in Digital form, Digital contracts issued by you as per the terms and conditions mentioned at the end of this letter shall be binding on me. I/We undertake to check the contract notes and bring the discrepancies to your notice preferably within 24 hours of such issuance of contract notes. Non verification or not accessing the contract notes on regular basis shall not be reason for disputing the contract notes at any time. This instruction to issue digital contract note is applicable with immediate effect.

ECN Consent : I/We hereby authorize you to send all my contract notes, bills, other Delivery Position, ledger statement to my/our below mention e-mail id therefore please do not dispatch physical copy of my contract notes / bills / ledger statement at my postal address.

My/our E-mail ID is _____

Alternate E-mail ID is _____

(Any change in E-mail ID shall be communicated by me / us through a physical letter to you)

2. Authority to debit the demat accounting charges

Beneficiary Client ID _____

Trading Account Code _____

We have a beneficiary & trading account with Indo Thai Securities Limited with client ID & trading code as mentioned above for investment and trading purpose. I hereby authorize you to debit the trading account maintained with Indo Thai Securities Ltd. for the demat charges payable to Indo Thai Securities Ltd., As depository participant for providing depository services any such sum debited to my/our account shall be binding on me/us.

3. I/We are dealing in Securities with you at NSE, BSE & MSEI in CM/Derivatives & Currency Derivatives Segment in order to facilitate ease of operations, I/We authorised you as under :

- a. I/We request you to maintain running balance in my account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation.
- b. I/We request you to retain securities with you for my/our margin/pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I/we instruct you to transfer the same to my/our account.
- c. I/We request you to settle my fund and securities account except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipts & in the case of margin trading facility also, as below:

Calendar Quarter ☐

Calendar Month ☐

- d. In case I/we have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.

- e. 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 preferably within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office.

I/We confirm you that I can revoke the above mentioned authority at any time by giving written notice to your registered office.

- f. Transfer my/our debit/credit balance to my/our another account maintained in capital market with you.

- g. I do not require separate confirmation slip for order/trade alteration/modification/cancellation/confirmation.

- h. I also authorised you debit the delay payment charges for the debit balance in my account & not settled as per exchange norms.

Client's Signature  _____

Client Code _____

Name of Client _____

Date : _____

Dear Customer,

Thank you for opting our offer to send you the contract notes in the digital Form. For availing the facility of digital contract notes following are the terms and conditions. Please sign it as an acceptance to it.

1. The Digital Contract notes will be issued in digital form in compliance with guidelines issued by SEBI/Exchange from time to time.
2. Digital Contract notes will be mailed at the E-mail address provided to us in KYC and / or the format as may be prescribed by the Exchange from time to time.
3. In case of any failure in system or errors in digital contract notes, contract notes will be issued in physical form, which shall be binding on the client.
4. Discrepancies, if any, should be sent to the branch or to email ID - compliance@indothai.co.in preferably within 24 hours of issuance of digital contract notes.
5. Any changes in the terms and conditions shall be intimated from time to time
6. Digital contact notes will also be available at www.indothai.co.in Client can view the ECN using the user name & password through the above website.

 (23)

(TO BE FILLED IF THE NAME ON DOCUMENT IS DIFFERENT)

This is to bring to your notice that my name is spelt differently in my Identity Proof, Address Proof and Bank Proof, Please find the below names as spelt in respective proofs.

Name as per PAN CARD : _____

Name as per Address Proof : _____

Name as per Bank Proof : _____

I hereby confirm that all the said names belong to me. I hereby state and confirm that what is stated above is true and correct information.

I agree to indemnify and keep Indo Thai Securities Ltd. indemnified at all times from and against all costs, charges, damages, penalties (including reasonable attorney fees) suffered and / or incurred by Indo Thai Securities Ltd. for any act done or omitted to be done on the above declaration.

Name of Client _____

Signature of Client



Client Code _____

Date : _____ Place _____

RIGHTS & OBLIGATIONS OF STOCK BROKERS & CLIENTS FOR MARGIN TRADING FACILITY (MTF)

CLIENT RIGHTS

1. Client shall receive all communications in a mode mutually agreed between the broker and the client regarding confirmation of orders/trades, margin calls, decision to liquidate the position / security.
2. Client shall be free to take the delivery of the securities at any time by repaying the amounts that was paid by the Stock Broker to the Exchange towards securities after paying all dues.
3. Client has a right to change the securities collateral offered for Margin Trading Facility at any time so long as the securities so offered are approved for margin trading facility.
4. Client may close / terminate the Margin Trading Account at any time after paying the dues.

CLIENT OBLIGATIONS

1. Client shall, in writing in his own hand or in any irrefutable electronic method, agree to avail of Margin Trading Facility in accordance with the terms and conditions of Margin Trading Facility offered by the broker, method of communication for confirmation of orders/trades, margin calls and calls for liquidation of collateral/security/position.
2. Client shall inform the broker of its intent to shift the identified transaction under Margin Trading Facility within the time lines specified by the broker failing which the transaction will be treated under the normal trading facility
3. Client shall place the margin amounts as the Stock Broker may specify to the client from time to time.
4. On receipt of 'margin call', the client shall make good such deficiency in the amount of margin placed with the Stock Broker within such time as the Stock Broker may specify.
5. By agreeing to avail Margin Trading Facility with the broker, client is deemed to have authorized the broker to retain and/or pledge the securities provided as collateral or purchased under the Margin Trading Facility till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
6. Client shall lodge protest or disagreement with any transaction done under the margin trading facility within the timelines as may be agreed between the client and broker.

STOCK BROKER RIGHTS

1. Stock Broker and client may agree between themselves the terms and condition including commercial terms if any before commencement of MTF.
2. Stock broker may set up its own risk management policy that will be applicable to the transactions done under the Margin Trading Facility. Stock broker may make amendments there to at any time but give effect to such policy after the amendments are duly communicated to the clients registered under the Margin Trading Facility.
3. The broker has a right to retain and/or pledge the securities provided as collateral or the securities bought by the client under the Margin Trading Facility.
4. The broker may liquidate the securities if the client fails to meet the margin call made by the broker as mutually agreed of liquidation terms but not exceeding 5 working days from the day of margin call.

STOCK BROKER OBLIGATIONS

1. Stock broker shall agree with the client the terms and condition before extending Margin Trading Facility to such client. However, for clients who already have existing trading relationship and want to avail of Margin Trading Facility, stock broker may take consent in writing in his own hand or in any irrefutable electronic method after stock broker has communicated the terms and conditions of Margin Trading Facility to such existing clients.
2. The terms and conditions of Margin Trading Facility shall be identified separately, in a distinct section if given as a part of account opening agreement.
3. The mode of communication of order confirmation, margin calls or liquidation of position/security shall be as agreed between the broker and the client and shall be in writing in his own hand or in any irrefutable electronic method. Stock broker shall prescribe and communicate its margin policies on haircuts/ VAR margins subject to minimum requirements specified by SEBI and exchanges from time to time.
4. The Stock Broker shall monitor and review on a continuous basis the client's positions with regard to MTF. It is desirable that appropriate alert mechanism is set up through which clients are alerted on possible breach of margin requirements.
5. Any transaction to be considered for exposure to MTF shall be determined as per the policy of the broker provided that such determination shall happen not later than T + 1 day.
6. If the transaction is entered under margin trading account, there will not be any further confirmation that it is margin trading transaction other than contract note.


Client Signature:  _____

7. In case the determination happens after the issuance of contract, the broker shall issue appropriate records to communicate to Client the change in status of transaction from Normal to Margin trading and should include information like the original contract number and the margin statement and the changed data.
8. The Stock Broker shall make a 'margin call' requiring the client to place such margin; any such call shall clearly indicate the additional/deficient margin to be made good.
9. Time period for liquidation of position/security shall be in accordance declared policy of the broker as applicable to all MTF clients consistently. However, the same should not be later than 5 working (trading) days from the day of 'margin call'. If securities are liquidated, the contract note issued for such margin call related transactions shall carry an asterisk or identifier that the transaction has arisen out of margin call.
10. The daily margin statements sent by broker to the client shall identify the margin/collateral for Margin Trading separately.
11. Margin Trading Accounts where there was no transactions for 90 days shall be settled immediately.
12. The stocks deposited as collateral with the stock broker for availing margin trading facility (Collaterals) and the stocks purchased under the margin trading facility (Funded stocks) shall be identifiable separately and there shall not be any comingling for the purpose of computing funding amount;
13. Stock Broker shall close/terminate the account of the client forthwith upon receipt of such request from the client subject to the condition that the client has paid dues under Margin Trading Facility.

TERMINATION OF RELATIONSHIP

1. The margin trading arrangement between the stock broker and the client shall be terminated; if the Stock Exchange, for any reason, withdraws the margin trading facility provided to the Stock Broker or the Stock Broker surrenders the facility or the Stock Broker ceases to be a member of the stock exchange.
2. The MTF facility may be withdrawn by the broker, in the event of client committing any breach of any terms or conditions therein or at anytime after due intimation to client allowing such time to liquidate the MTF position as per the agreed liquidation terms without assigning any reason. Similarly, client may opt to terminate the margin trading facility in the event of broker committing any breach of any terms or conditions therein or for any other reason.
3. In the event of termination of this arrangement, the client shall forthwith settle the dues of the Stock Broker. The Stock Broker shall be entitled to immediately adjust the Margin Amount against the dues of the client, and the client hereby authorizes the Stock Broker to make such adjustment.
4. After such adjustment, if any further amount is due from the client to the Stock Broker, the client shall settle the same forthwith. Upon full settlement of all the dues of the client to the Stock Broker, the Stock Broker shall release the balance amount to the client.
5. If the client opts to terminate the margin trading facility, broker shall forthwith return to the client all the collaterals provided and funded securities retained on payment of all the dues by clients.

Client Signature:  _____

Broker/Agent Code ARN : 35443				SUB-BROKER :		EUIN : 126948	
Unit Holder Information							
Name of the First Applicant :							
PAN Number :		KYC		Date of Birth			
Contact Address :							
City :		Pincode :		State :		Country	
Mobile				Email :			
Mode of Holding :				Occupatuion :			
Other Details of Sold/1st Applicant							
Overseas Address : (In case of NRI investor)							
City :		Pincode :		Country :			
Bank Mandate Details							
Name of Bank :							
A/C type. :		IFSC		A/C No.			
Bank Address :							
City :		Pincode :		State :		Country	
Nomination Details							
Nominee Name :				Relationship :			
Guardian Name (If Nominee is Minor)							
Nominee Address :							
City : Pincode : State :							
Declaration and Signature I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.							
Date :				Place :			
							
1st applicant Signature		2nd applicant Signature		3rd applicant Signature			



IndoThai
trade with confidence

INDO THAI SECURITIES LTD

NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM

UMRN Date

Tick () Sponsor Bank Code Utility Code

I/We hereby authorize **BSE Limited** to debit (tick)

Bank a/c number

with Bank IFSC or MICR

an amount of Rupees

FREQUENCY ☐ Mthly ☐ Qtly ☐ H-Yrly ☐ Yrly ☐ As & when presented DEBIT TYPE ☐ Fixed Amount ☐ Maximum Amount

Reference 1 (Mandate Reference No.) Phone No

Reference2 (Unique Client Code UCC) Email ID

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

PERIOD

From

To

Or ☐ Until Cancelled

1. 2. 3.

- This is to confir that the declaration has carefully read, understood & made by me/us. I am authorizing the user entity/Corporate to debit my account. based on the instructions as agreed and signed by me.

- I have understood that i am authorised to cancel/amend this mandate by appropriately communicating the cancellation/amendment request the Use entity/Corporate or the bank where I have authorized the debit.

Tear Here

NACH/ECS/AUTO DEBIT MANDATE INSTRUCTION FORM

UMRN Date

Tick () Sponsor Bank Code Utility Code

I/We hereby authorize **BSE Limited** to debit (tick)

Bank a/c number

with Bank IFSC or MICR

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Online Trading Platform



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www.winstock.co.in



INDO THAI SECURITIES LTD.

Regd. Office : Capital Tower, 2nd Floor, Plot Nos. 169A-171, PU-4,
Scheme No. 54, Behind C 21 Mall, Indore - 452010 (M.P.)

Ph.: (0731) 4255800, 802, 816

Email : depository@indothai.co.in | indothaigroup@indothai.co.in

Website : www.indothai.co.in

f / IndoThaiLtd **t / IndoThaiLtd**

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DP SEBI Regn. No. IN-DP-CDSL-412-2007 | Corporate Member : NSE | BSE | MSEI | DP-CDSL

