

Application No.

ACCOUNT OPENING FORM

CLIENT CODE

CDSL ID

12082500

CLIENT NAME

INDEX OF DOCUMENTS

SECTION - A - MANDATORY DOCUMENTS

AS PRESCRIBED BY SEBI AND EXCHANGES

Account Opening Form {Pg 1-3}

Part I - KYC form - Document captures the basic information about the constituent and an instruction / checklist.

Part II - Document captures the additional information about the constituent relevant to trading account and an instruction/check list.

Nomination Form for appointing a nominee to the client's account (In case of nomination)

Client Declaration Tariff Sheet {Pg 4}

Document detailing the rate/amount of brokerage and other charges levied on the client for trading and demat account on the stock exchange(s)/ depository

Rights & Obligations of Stock Brokers, Sub-Broker & Clients {Included in client copy}

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).

Rights & Obligations of Beneficial Owner & Depository Participant {Included in client copy}

Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.

Risk Disclosure Document (RDD) {Included in client copy}

Document detailing risks associated with dealing in the securities market

Guidance note {Included in client copy}

Document detailing do's and don'ts for trading on exchange, for the education of the investors.

Policies and Procedures {Included in client copy}

Documents describing significant policies and procedures of 5paisa Capital Limited (5paisa) related to Trading Account of the client.

5Paisa Capital Limited is involved in proprietary trading on NSE and BSE.

SECTION-B - VOLUNTARY DOCUMENTS

AS PROVIDED BY STOCK BROKER/ DEPOSITORY PARTICIPANT

Terms & Conditions cum Registration form for receiving SMS Alerts from Depository {Included in client copy}

Terms and Conditions-cum-registration / Modification form for receiving SMS Alerts from CDSL

For Distribution of Securities {Included in client copy}

Terms & Conditions for Distribution of Securities

Mutual Fund Trading Services {Included in client copy}

Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUAL FUND offered by NSE and BSE respectively

Authorisation Letter {Pg 5}

- A. Running Account Authorisation
- B. Authorisation for Receipt of Contract Notes and Other documents in Digital Mode

Power of Attorney {Pg 6-9}

Voluntary and Limited purpose POA in favour of Broker for operational requirements as per client authorization/instruction. A POA in favour of 5paisa Capital Limited.

Margin Funding Authorization {Pg 15}

PLEASE READ THIS DOCUMENT CAREFULLY BEFORE AGREEING TO ITS CONTENTS AND ENSURE ALL THE DETAILS PROVIDED ARE CORRECT.

CHECKLIST OF DOCUMENTS

☐ Application No.(Signed on both sides)☐ Bank Mandate (Signed)☐ PAN Card Copy (Signed photocopy)☐ Cheque Leaf (Cancelled original)☐ Address Proof (Signed photocopy)☐ Income Proof



Application No.

KNOW YOUR CLIENT (KYC)

Please fill in ENGLISH and in BLOCK LETTERS

IDENTITY DETAILS

Name of Applicant

Maiden Name

Father/ Husband Name

Mother Name

Date of Birth

Gender

Marital Status

Nationality


PAN

Aadhar No

Status

Sub Status

Proof of identity

 Please sign across photograph

CONTACT DETAILS OF SOLE / FIRST APPLICANT

Permanent Address

City State Country Pin Proof of Address provided Validity/Expiry Date Mobile Email ID

Correspondence / Residence Address

City State Country Pin Proof of Address provided Validity/Expiry Date Residence Office Tel. No.

DECLARATION

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

Place : Date :

SIGNATURE OF APPLICANT



FOR OFFICE USE ONLY

5paisa Capital Ltd.

IPV Done

☐

On

☐ (Originals Verified) Self Certified
Document copies received☐ (Attested) True copies of documents
received Main Intermediary

Seal/Stamp of the Intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Seal/Stamp of the Intermediary should contain
Staff Name
Designation
Name of the Organization
Signature
Date

Client interviewed by

Employee Code Designation

Version :

Application No. **ACCOUNT OPENING FORM**

Please fill in ENGLISH and in BLOCK LETTERS

CLIENT DETAILS

Client Name	PAN	Occupation			
Annual Income	Trading Experience	Income Proof			
I wish to trade in	NSE CASH <input type="checkbox"/> 3/20	NSE FO <input type="checkbox"/> 4/20	NSE CD <input type="checkbox"/> 5/20	BSE CASH <input type="checkbox"/> 6/20	BSE FO <input type="checkbox"/> 7/20

BANK DETAILS

Bank A/C No.	A/C Type	Bank Name	Bank Branch	IFSC Code	MICR Code
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DEPOSITORY ACCOUNT DETAILS (For Trading & DP)

Account Type : Resident Individual

Client Name	PAN	Occupation
FIRST HOLDER		
SECOND HOLDER		
THIRD HOLDER		
I/We wish to open Depository Account with CDSL.		

Signature

<input type="text"/>	<input type="text"/>	<input type="text"/>
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PAST REGULATORY ACTIONS (Last 3 years)(To be hand filled)

Particulars	Name of Authority	MM/YYYY
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OTHER TRADING AND DEMAT DETAILS

Name of Broker / Sub Broker	Client Code	DP ID	BO A/C Number
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DECLARATION

Politically exposed person

Related to politically exposed person

- I/We wish to receive Electronic Contract Note (ECN) on my email id
- I/We wish to avail the facility of internet trading / wireless technology
- I/We hereby authorize you to receive credits automatically into my/ our Demat Account maintained with 5paisa Capital Limited.
- I/We hereby authorize you to operate the Demat Account through Power of Attorney (PoA) and accordingly will be provided SMS alert facility on my registered mobile number
- I/We hereby authorize you to credit interest / dividend, directly to my bank account details provided above through ECS
- I/We do not wish to receive Delivery Instruction Slip (DIS) since the account will be operated through POA
- I/We hereby request you to send me the Account Statement quarterly by email
- I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
- I/We confirm having read/been explained and understood the contents of the document on policy and procedures of the stock broker and the tariff sheet.
- I/We confirm having received a copy of the following documents and further confirm having read and understood the contents of these documents:
 - Rights and Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges
 - Policies and Procedures applicable to clients.
 - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
 - Risk disclosure Document for Capital and Derivatives Segment
 - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for InvestorsI/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.
- I/We further understand that any change in the said documents including the "Policies and Procedures" shall be made available on the website of 5paisa and also intimated to me through circulars in internet trading platform/e-mails. I/We shall keep myself updated of the same.
- The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such account. I/We hereby declare that the details furnished are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I/we am/are aware that I/we may be held liable for it.
- In case non resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulation.

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Name

Signature

<input type="text"/>	<input type="text"/>	<input type="text"/>
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Version :

TARIFF SHEET

Trading Account Processing Charges	
Rs 650/- Non Refundable (Inclusive of GST)	
<i>No charges are payable for opening of demat accounts.</i>	
Broking Charges	
	RATE
	0.025% (each leg)
	0.05% Rs. 10 per order*
Currency (Futures & Options) Equity (Futures & Options)	Rs. 10 per order
Auction Charges	As per 5paisa Auction process criteria
Depository Charges	
A/c Maintenance Charges#	Yearly AMC Rs. 400/- + GST
Credit Charges	NIL
Debit Charges#	0.025% or Rs 25 whichever is higher
#These charges are billed every month and will be debited to the ledger.	

Other Charges	
	Standard charges
Pledge creation	Rs. 50
Pledge closure	- -
DEMAT - Per certificate	Rs. 15
REMAT - Per certificate OR Per 100 Units/shares (Whichever is higher)	Rs. 15
Conversion of MF units/ Destatmentisation Per SOA	Rs.15
Reconversion of MF units in to SOA or Redemption/Restatmentisation Per SOA	Rs. 15
Postal Charges per request shall be charged separately	Rs. 40
Rejection/Failure per entry	--

- Document handling charge of Rs 100/- shall be applicable:
 - In case customer also intends to receive documents (contract notes and other related documents) by physical mode.
- This charge may be partly/fully waived at the discretion of 5paisa.
- The above charges are exclusive of GST, Securities Transaction Tax, other charges and stamp duty. The same shall be charged to the Client's account on actual basis. Inter/settlement/Beneficiary to pool transfer would be charged @ 0.025% or Rs 25 Exclusive GST whichever is higher.
- Charges/ Service standards are subject to revision at sole discretion of 5paisa Capital Ltd. and as informed by communication sent by ordinary post/E-mail.
- For customers using our Call Center services which are equipped with modern technology, there will be a nominal charge of Rs 100 Exclusive of GST per call.
- Value of the transaction will be in accordance with rates provided by Depository.
- Statutory and other levies being charges related to the execution and/or settlement of transactions shall be separately chargeable as in force from time to time.
- Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
- Customer is required to maintain a minimum balance of Rs 450/- in his/her ledger account.
- Management reserves the right to freeze, discontinue or suspend any account if required.
- Brokerage is also applicable in case of expiry of futures and exercise and assignment of option contracts.
- 5paisa Capital Limited would be recovering payment gateway charges on actual basis per transaction as charged to 5paisa Capital Limited by the payment gateway vendor.
- Demat charges shall be applicable for MF transactions.

I/ We have understood and accepted the Schedule of Charges as stated here in above.

SOLE / FIRST HOLDER

SIGNATURE

Official Name:

SECOND HOLDER

Official Signature :

THIRD HOLDER

AUTHORIZATION LETTER

Running Account Authorisation to Spaisa Capital Limited

- a) I would like to keep securities purchased by me with you as collateral for giving me exposure limits in my trading account/margin obligation. I authorize you not to transfer shares/securities purchased by me to my demat beneficiary account and keep them with yourselves. I also authorise you to pledge these shares/ securities with the Clearing Member/ Exchange/Custodian, at your discretion. In case any of the shares/securities are sold in subsequent settlements, you may take this as a standing instruction to adjust against my previous purchase positions in any of Exchanges.
- b) Whenever I require delivery of any shares/securities, I shall send you a request. I understand that such payout of securities will be made subject to your risk management policies.
- c) In case there is a debit balance in my account, you are authorized to sell at any point of time the shares/ securities held by me/ held on my behalf, at your sole discretion. Any profit or loss made on such transactions will be to my account as it would have occurred on normal purchase/sale made by me.
- d) I also agree to pay the balance amount, if any after deducting credit of sale of shares. I also request you not to issue cheques /make payments settlement wise unless specifically demanded by me, as payin and payout are very close and therefore exchange of cheque becomes unnecessary paper work.
- e) I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
- f) I further authorise you to set off/ adjust any of my debits/dues in any segment of any Exchange with credits of any other segment(s) of any Exchange(s) in my account within the period of settlement of my account (Securities and Funds) as opted by me.
- g) The Securities lying in client beneficiary account on my/our behalf and/or credit balances lying in my/our ledger account of any segments of any Exchanges can be considered as margin for the any segments of any Exchanges.
- h) I/We understand that this authorization shall remain valid until revoked by me/us. I/we undertake to clear all my dues arising during the validity of this authorization else the member shall recover all my/our dues in my/our ledger till date. I also undertake to clear all my dues to you before serving revocation of this authorisation else the member will recover all my dues in my ledger till date and then effect the revocation.
- i) **I /We further wish to have settlement of my account (funds and securities):- (Tick any one option) :**
☒ **Once in Quarter** ☐ **Once in Month**
 I /We understand that settlement amount shall be subject to retention of requisite securities/ funds towards outstanding obligations and margins in my account calculated in the manner specified by SEBI/ Exchange and details mentioned in the "Statement of Account" at the time of settlement. I /We authorise you to send the statement of account on funds and securities as on the date of settlement to my internet trading account or e-mail id registered with you. I /We understand that I /We can obtain a copy of the same from any of your Branch offices.
 I /We understand and authorize that you will not release the payout in case the balance after necessary retention is upto Rs 10000/- in any of the quarters, till my revocation in writing as I /We will be doing regularly trading with you. I also undertake to bring any dispute arising from Statement of accounts or settlement so made to your notice within seven working days from the date of receipt of funds/securities or Statement as the case may be. So kindly maintain my account as a running account basis for funds and securities.

AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE

I/We hereby consent to receive from Spaisa Capital Limited the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id). E-mail Id : _____ I/We further hereby agree that the Spaisa Capital Limited. shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that:

- (i) The above is my/ our personal E-mail id. I/We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. Spaisa Capital Limited shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- (ii) E-mails sent to any of the above mentioned e-mail account, which have not bounced back, shall be deemed to be duly delivered to the me/us.
- (iii) Spaisa Capital Limited shall not take cognizance of out-of -office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- (iv) Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by Spaisa Capital Limited.
- (v) Spaisa Capital Limited shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- (vi) Spaisa Capital Limited shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from Spaisa Capital Limited.
- (vii) I/We shall inform Spaisa Capital Limited by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the Email given above.
- (viii) I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with Spaisa Capital Limited. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
- I/We shall immediately inform SPAISA CAPITAL LIMITED about change in email address, if any. I/We further agree that SPAISA CAPITAL LIMITED will not be responsible for non receipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify SPAISA CAPITAL LIMITED and its group companies, that they will not be held liable/ responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

Declaration

I/We confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents. SMS Alerts Facility by depository : I/ We consent to CDSL providing to the service provider such information pertaining to account/ transactions in my/ our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/We further undertake to pay fee/ charges as may be levied by the depository from time to time. I/ We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.

Terms & Conditions For Distribution of Securities.

Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR MUTUALFUND offered by NSE and BSE respectively.

Terms and Condition for availing systematic investment in Mutual fund/Securities

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Signature

11/20

Application No. **POWER OF ATTORNEY**User ID :

Voluntary and Limited purpose POA in favour of Broker for operational requirements as per client authorization/ instruction.

POWER OF ATTORNEY IN FAVOUR OF 5PAISA CAPITAL LIMITED

This Power of Attorney (POA) is made by the persons mentioned in the Schedule 1 in favour of "5PAISA CAPITAL LIMITED", a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at 5paisa Capital Limited, 143 MGR Road, Perungudi, Chennai - 600 096. (hereinafter referred to as '5paisa', an expression deemed to mean and include its successors and assigns) WHERE AS 5paisa Capital Limited is a member of the National Stock Exchange of India Limited ("NSE") (bearing SEBI registration no **INZ000010231**. on the Capital Market Segment, Futures & Options Segment and Currency Derivatives Segment respectively), Bombay Stock Exchange Limited ("BSE") (bearing SEBI registration no. **INZ000010231** on the Cash Market Segment and Derivatives Segment).

AND WHEREAS 5paisa Capital Limited is a Depository Participant with the Central Depository Services (India) Limited (CDSL) having SEBI registration number **IN-DP-192-2016**.

AND WHEREAS 5paisa Capital Limited is registered with Association of Mutual Funds in India (AMFI) as Mutual Fund Distributor having Registration no. ARN104096.

AND WHEREAS I/We wish to avail / I/We am/ are a client availing of the services offered by 5paisa and has entered into necessary documents/ agreement(s) ("Client Agreements") with 5paisa for transacting in securities with/ without On-Line trading/ E-broking & web based facilities and/ or services through its website www.5paisa.com or any other website used for offering said Services.

Details of my/ our Trading and Demat account with 5paisa are provided in Schedule 1

AND WHEREAS for facilitating smooth operations of the said services being availed from 5paisa by me/ us, I/ We am/ are desirous of appointing an attorney and confer upon it powers hereinafter stated.

NOW THESE PRESENTS WITNESS that I/ We, do hereby, jointly and severally nominate, constitute and appoint "5paisa Capital Limited" being a Stock Broker and Depository Participant registered with Securities and Exchange Board of India ("SEBI") acting through any of its directors, officers and/ or agents, as my/ our true and lawful Constituted Attorney (hereinafter referred to as the said Attorney) for me/ us, in my/ our name and on my/ our behalf and at my/ our risk and costs to do, exercise and perform all or an

1. To instruct the Depository Participant, being 5paisa to transfer securities held in my/our beneficial owner/demat account as provided in Schedule 2 or such other demat account as may be intimated by me/us to 5paisa from time to time ("client designated demat accounts") to such demat account of 5paisa as provided in Schedule 2 and/ or designated by 5paisa and intimated to me from time to time ("5paisa designated demat account") towards stock exchange related margin/ delivery obligations arising out of trades executed by me/ us through 5paisa on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
2. To make application and/ or issue instruction for creation/ invocation/ closure of pledge on the securities/ units held in my/ our client designated demat accounts in favour of 5paisa for the limited purpose of meeting the margin requirements in connection with the trades executed by me/ us through 5paisa on any Stock Exchange in any segment including cash, derivatives and currency derivatives segment.
3. To credit my/ our client designated demat accounts with any securities that are to be delivered to me/ us/borrowed by me/us.
4. Generally to do all such acts, deeds, matters and things as may be necessary for or incidental to ensure that all payments for and delivery of securities arising out of transactions undertaken by me/ us under the agreements are duly and properly completed.
5. Pursuant to my/ our instruction, to make necessary applications on my/ our behalf to any officials or authorities in India, including but not limited to, the Central Government, and/or the Reserve Bank Of India, Income Tax Authority, Stock Exchanges, Securities and Exchange Board of India in connection with my/ our purchase/ sale/ transfer holding and continuing to hold securities, and to represent me in all respects before such authority/ies and establish without encumbrance the ownership of securities in my name.
6. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non- convertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments including usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/ institution or Government.

SOLE / FIRST HOLDER**SECOND HOLDER****THIRD HOLDER**

Client Signature


12/20



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User ID :

7. Pursuant to my/ our instruction or instruction of my/our Authorised Representative, to apply for various products like Mutual Funds, Public issues of securities including debentures, rights, offer of shares, tendering shares in open offers etc.
8. Pursuant to my/ our instruction or instruction of my/our Authorised Representative, to acquire by subscribing to or by purchase of securities or any other investment products and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and/ or any other investment products including but not limited to Initial Public Offerings, Further Public Offerings, Buy Back Offers, Right Issues either through internet using identification number issued by any Authority from time to time or otherwise, and/ or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds and/ or otherwise as may be required to deal in the securities or other investment products.
9. Pursuant to my/ our instruction or instruction of my/ our authorised Representative, to make applications for or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any Company/ Body/ Authority and to receive and hold such rights or additional shares bonds or debentures.
10. To issue orders and instructions for acquisitions and disposal of investments for and on behalf of myself/ourselves and to purchase or otherwise acquire, sell or otherwise dispose off and invest in securities.
11. To sign the necessary forms and other documents if any and to file the same with the company/ies and/ or Mutual Fund concerned for purchase, sell, redemption or otherwise transfer of such securities/ units of Mutual Funds and transferring it in my/ our name.
12. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/ issuer of Investment Product.
13. To receive statements and other documents pertaining to the above units/ securities and to acknowledge receipt of the same.
14. To do all such acts and things as may be necessary to effect the subscription/ purchase/ redemption or any other transaction in any securities and/ or Investment Product for which services are availed from 5paisa.
15. To debit the purchase price of such securities or any other fees/ charges etc. due to 5paisa and to discharge all obligation in this regard on my/ our behalf to 5paisa, in my account with 5Paisa Capital Ltd.
16. To operate and to give delivery/ receive instructions, borrowing and lending instructions, pledge instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of client designated demat account(s) or towards the obligation for transactions done through 5paisa on NSE, BSE and any other Exchange, under my/our instructions.
17. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
18. To square off at its discretion my/ our position of transactions that are not delivery marked during the day.
19. To demand, receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/ or income arising from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend/ interest warrants or certificates, receive all debts, sums of money, principal, interest, dividend or other dues of whatever nature or account which are now or at any time due and payable and belong to me/us.
20. For the purpose of the aforesaid to sign contracts, agreements, transfers, acceptances, receipts, or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/authorities or department(s) and to do all such lawful acts requisite for effecting the same.
21. To correspond with and give notice to the corresponding Asset Management Company/ Body Corporate/ Registrar & Transfer Agent of securities including but not limited to giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated/ instructed by me/ us.
22. To comply and/ or cause to be complied with all statutory and other requirements attached to or arising out of these premises and for these purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.
23. To send consolidated summary of my/ our scrip wise buy and sell positions taken with average rates by way of SMS/ e-mail at my/ our registered mobile no./ email id as provided by me/ us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
24. To arrange to return to me/ us the securities that may have been received by 5paisa erroneously or those securities that 5paisa is not entitled to receive from me/ us.

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Client Signature

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25. For all or any of the purpose aforesaid to appoint from time to time a representative and to revoke such representation but so that the appointment of any such representative shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointments.
26. To do or omit to do all such acts and things as 5paisa may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.
27. My/ Our Attorney 5paisa shall not be liable for any loss that may result from failure/ inability of electronic connectivity or rejection of my/ our application for any reason whatsoever.
28. My/ our Attorney 5paisa shall not be liable for any transaction processed on the basis of information provided by 5paisa to the issuers/ owners of securities or investment products in the applications or otherwise based on the information provided by me/ us. AND I/ We hereby agree that 5paisa shall exercise such powers and authorities conferred under the above Power of Attorney only pursuant to the instructions in that behalf given by me/ us or my/ our Authorised Representative, which may be given orally, over the telephone, through the internet, electronically or in any other manner acceptable to 5paisa and such instructions shall be deemed to have been given by me/ us and shall not be questioned by me/ us and shall be conclusive and binding on me/ us. My/ Our "Authorised Representative" for the purpose this Power of Attorney shall mean Mr. , or such other person appointed by me/ us and intimated by me/ us in writing to the Attorney from time to time. AND I/ We hereby agree that all such acts done by my/ our above mentioned attorney shall be deemed to be acts done by me/ us and if necessary shall be ratified by me/ us on the instructions of the said attorney. AND I/ WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney shall be valid, effective and operative and shall remain in force till the termination of the Member -Client Agreement and/ or any other agreement(s) that I/ We have entered into with 5paisa. I/ We may revoke this Power of Attorney at any time by giving a notice to 5paisa in writing and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents. Such notice shall be duly signed by me/ us and should be received at: 5Paisa Capital Ltd, Hubtown Solaris, Ground Floor, Prof NS Phadke Marg, Vijay Nagar, Andheri(E), Mumbai-400069. I/ We hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other charges & expenses till the date of revocation due to the Attorney as per its records are paid/ cleared in full.

This document shall be subject to the jurisdiction of the Courts in Mumbai.

MADE and executed at _____ on this _____ day of _____ 20

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Client Signature

14/20



Application No.

POWER OF ATTORNEY

User ID :

SCHEDULE 1

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Client Name

Age

Address

Trading Account No./ Client ID

Demat Account No.

SCHEDULE 2

Client Designated Demat Account Nos.:

5Paisa Designated Demat Account Nos:

DP NAME : 5PAISA CAPITAL LTD	DP NAME : INDIA INFOLINE LTD
DPID: 12082500 (CDSL) 1208250000000012 1208250000000027 1208250000000031 1208250000000046 1208250000000050 1208250000000071 1208250000717945 1208250000717951 Early Pay in- 1100001100019887 1100001000023901	DPID: IN302269 (NSDL) IN30226914495926 IN30226914346750 IN30226914360711

IN WITNESS WHEREOF I/We have hereunto set and subscribed my/our respective hands to these presents the day and the year herein above written

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Signature

CLIENT'S WITNESS FOR POWER OF ATTORNEY (for and on behalf of the Client)

WITNESS 1

WITNESS 2

Name

Address

Address

City

State

Country

Pin

City

State

Country

Pin

Signature

Signature

We hereby agree to exercise the powers conferred upon us in terms of the clauses mentioned hereinabove.

For 5paisa Capital Limited

Authorised Signatory

Date : _____



Debit Mandate Form NACH / ECS / Direct Debit

CREATE <input checked="" type="checkbox"/>	UMRN	<input type="text"/>	DATE	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
MODIFY	Sponsor Bank Code	<input type="text"/>	Utility Code	<input type="text"/>							
CANCEL	I/We hereby authorize	5Paisha Capital Limited	to debit (tick)	<input checked="" type="checkbox"/> SB / CA / CC / SB NRE / SB NRO / Other							

Bank a/c number	<input type="text"/>										
with Bank	<input type="text"/>	IFSC	<input type="text"/>	or MICR	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
an amount of Rupees	<input type="text"/>										
FREQUENCY	<input type="checkbox"/> Mthly	<input type="checkbox"/> Qtly	<input type="checkbox"/> H-Yrly	<input type="checkbox"/> Yrly	<input checked="" type="checkbox"/> As & when presented	DEBIT TYPE	<input type="checkbox"/> Fixed Amount	<input checked="" type="checkbox"/> Maximum Amount			
Reference 1(Mandate Reference No.)	<input type="text"/>					Phone No	<input type="text"/>				
Reference 2(Unique Client Code-UCC)	<input type="text"/>					Email Id	<input type="text"/>				

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

PERIOD	<div><div>16</div><div>20</div></div>											
From	<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"/>	
To	<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"/>	
Or	<input checked="" type="checkbox"/> Until Cancelled	Name as in bank records					Name as in bank records					Name as in bank records

- This is to confirm that the declaration has been 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 to the User entity / Corporate or the bank where I have authorized the debit.

Dear

Thank you for you interest in registering a One Time Mandate with 5Paisha.
Post this you will be able to apply for paperless SIPs quickly through both our Mobile Application and Web portals.
Please print and sign the One Time Mandate as given above and send to -
'5paisha Capital Limited, Sun Infotech Park, Road No. 16V, Plot No.B-23, Thane Industrial Area, Wagle Estate, Thane - 400604'
Your orders will only be processed once we have received a signed copy of this mandate from you.

Frequently Asked Questions

What is Maximum Amount? - Maximum amount is not for a specific investment that you are planning at this time but allows you to make multiple investments without registering a separate bank mandate for each investment. If we have a fixed amount mandate, you will need to print, sign and send another mandate to us with every new investment.

When will money be transferred? - Money will be transferred as and when you place an investment instruction with 5Paisha. This completely depends on you. Sending your mandate now will only set up the account and make it ready for when you want to invest.

Regards

Team 5Paisha



Application No.

NOMINEE DETAIL FORM

Please fill in ENGLISH and in BLOCK LETTERS

CDSP - DP ID	1	2	0	8	2	5	0	0
--------------	---	---	---	---	---	---	---	---

Date								
------	--	--	--	--	--	--	--	--

Client ID								
-----------	--	--	--	--	--	--	--	--

FORM FOR NOMINATION/CANCELLATION OF NOMINATION (To be filled in by Individual applying singly or Jointly)

I / We the sole holder / Joint holders / Guardian (in case of minor) hereby declare that:

- ☐ I/We wish to make nomination [As per Details given Below]
- ☐ I/We do not wish to nominate any one for this demat account.
- ☐ I/We wish to cancel the nomination made by me/us earlier and consequently all rights and liabilities in respect of beneficiary ownership in the securities held by me/us in the said account shall vest in me/us [Strike off the nomination details as below]

Nomination Details

I/We wish to make a nomination and do hereby nominate the following person(s) who is/are entitled to receive all securities held in the depository by me/us in the said beneficiary owner account in the event of my/our death.

Nomination can be made up to three nominee in the account			Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
1.	Name of the Nominee(s) (Mr/Ms.):	First Name* Middle Name Last Name*			
2.	a. Share of each Nominee	Equally <input type="checkbox"/> (if not equally, please specify %)	%	%	%
	b. Residual Securities #	Please tick anyone nominee, if tick is not marked then the default will be first Nominee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	Relationship with applicant/BO [if any]*				
4.	Address of Nominee(s)*				
	City*				
	State*				
	PinCode*				
	Country*				
5.	Mobile/Tel No. of Nominee(S)				
6.	Email ID of Nominee (s)				
7.	Pan Number				
8.	Aadhar Number				



NOMINEE DETAIL FORM

Please fill in ENGLISH and in BLOCK LETTERS

9.	Nominee Identification Details <i>[Please tick any one of and provide details of same]</i>	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account Id	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account Id	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account Id
Sr. Nos. 10-16 should be filled only if nominee(s) is a minor:				
10.	Date of Birth {in Case of Minor Nominees(s)}			
11.	Name of Guardian (Mr./Ms.) {in Case of Minor Nominees(s) : First Name*			
	Middle Name			
	Last Name*			
12.	Address of Guardian(s) City* State* PinCode* Country*			
13.	Mob/Tel No. of Guardian(s)			
14.	Email ID of Guardian(s)			
15.	Relationship of Guardian with Nominee			
16.	Guardian Identification Details <i>[Please tick any one and provide details of same]</i>	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account Id	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account Id	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> Pan <input type="checkbox"/> Aadhar <input type="checkbox"/> Saving Bank A/c No. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account Id
		Name(s) of Account Holder(s)		Signature of Holder
Sole/First Holder/Guardian (in case Sole holder is Minor)(Mr./Ms.)				17/20
Second Holder(Mr./Ms.)				
Third Holder(Mr./Ms.)				

**NOMINEE DETAIL FORM**

Please fill in ENGLISH and in BLOCK LETTERS

	Signature of Witness for Nomination	
Name of the Witness	Address	Signature of Witness

Note:

1. The Nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non-individual including society, Trust, body corporate and partnership Firm, Karta of Hindu Undivided Family, Holder of power of attorney cannot nominate. If the account is held jointly, all joint holders will sign the nomination form.
2. 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.
3. Then nominee(s) shall not be a trust, Society, Body Corporate, Partnership Firm, and Karta of Hindu Undivided Family or a power of attorney holder. A non-resident Indian can be a nominee, subject to the exchange controls in force from time to time.
4. 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 securities.
5. Transfer of securities in avour of a Nominee(s) shall be valid discharge by the depository and the participant against the legal her
6. The Cancellation of nomination can be made by individual only holding beneficiary owner accounts on their own behalf singly or jointly by he same persons who made the original omination. Non-individual including society, Trust, Body corporate, and partnership firm, Karta of Hindu undivided family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner account is held jointly, all joint holder will sign the cancellation form.
7. On Cancellation of the Nominee, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favor of the nominee(s)
8. Nomination can be made up to three nominees in a demat account, in case multiple nominees, the client must specify the percentage of share for each nominee that shall total up to 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 among all the nominees.
9. 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 FORM 10 at the time of substitution will be considered, Therefore, Please mentioned the complete details of all nominees
10. Copy of any proof identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the document, as provided in annexure D
11. Saving bank account details shall only be considered if the account maintained with same participant.
12. DP ID and Client id shall be provided where demat details required to be provided
13. This nomination shall supersede any prior nomination made by me/us and also any testamentary document executed by me/us.

*** Mandatory Fields**

Residual Securities: Residual securities: incase of multiple nominees, 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 first nominee will be marked as nominee entitled for residual shares, if any.

Application No. **AUTHORIZATION TO OPT/MAINTAIN REGULAR DEMAT ACCOUNT
(NON BSDA)**

Please fill in ENGLISH and in BLOCK LETTERS

To 5paisa Capital Limited,

Date:

DP ID:

Mumbai:

Dear Sir / Madam,

CDSP - DP ID Client ID

Keeping in view my past and proposed transaction and holding, I would like to continue / avail normal demat account.

I have also noted that being a normal demat account (Non BSDA), normal AMC as per the company's demat tariff would be applicable. The tariff for normal demat account (NON BSDA) are already provided and agreed under tariff sheet in KYC Form and changed through intimation by the company from time to time.

Terms and Conditions

1. I/we hereby confirm and understand that by providing this authorization we specifically waive of the right to assess my demat account as BSDA account even if applicable by eligibility.
2. Salient Features of BSDA are kept on www.5paisa.com. Click here for salient features of BSDA account. I/we hereby confirm to have read and understood the salient features of BSDA account.
3. I/ we confirm and understand that my demat account would be charged and treated as normal demat account (NON BSDA) until opted otherwise by a written communication to 5Paisa.

SOLE / FIRST HOLDER**SECOND HOLDER****THIRD HOLDER**

Name

Signature

Place: _____

Consent/ Authorization to avail Margin Trading with 5paisa Capital Limited

Date: _____

To **5paisa Capital Limited**,
1st Floor, IIFL House, Sun Infotech Park
Road No 16V, Plot No. B-23,
Thane Industrial Area, Wagle Estate,
Thane – 400 604

- I/we am / are interested in activating my/our account for avail margin trading funding with 5paisa Capital Limited. I/we hereby authorize you to activate my/our account for the above mentioned funding as per my consent.
- I/we agree and understand to the terms and conditions of Margin Trading Funding provided by 5paisa Capital Limited. I/we do hereby agree to be bind by such provisions as outlined in these documents and act in accordance with the same while availing the margin trading funding. I/we hereby undertake to refer to the updated policies and procedure as posted on 5paisa website and abide by the same.
- I/we confirm and agree to receive all the communication such as confirmation of orders/trades, margin calls, decisions/calls to liquidate the collateral/ positions / security on my registered email address or registered mobile number provided with 5paisa Capital Limited send electronically by 5paisa Capital Limited.
- I/we hereby agree to that the margin funding shall carry interest at 18 % per annum payable weekly.
- I/we understand that by availing the funding to trade under Margin Trading, i/we authorize 5paisa Capital Limited to treat all my/our trade in group I securities, which are not covered by 100 % margin (i.e Cash in ledger) as trades under Margin Trading Funding and accordingly i/we authorize 5paisa capital limited to report all such trades to the exchange(s) on next day as Margin Trading Trades.
- I/we understand and acknowledge that 5paisa Capital Limited would consider entire clear ledger credit balance in normal trading ledger for adjustment against the margin trading funding trades (Ledger) and would levy the interest on the net debit balance in the MTF Ledger.

Signature of the Client

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Signature

19/20





MANDATE / AUTHORIZATION FOR INVESTMENT IN LIQUID FUNDS

I am aware that whenever there are surplus/ idle funds in my ledger, I will place order through system for investing in Mutual Fund including liquid Mutual Fund. Besides I authorize 5Paisa Capital Limited to invest preferably in HDFC Liquid Fund, SBI Liquid Fund or any other liquid schemes to the extent of surplus/idle in my ledger and also redeem the same for meeting payin/ margin requirements in my trading account. I am also aware that this will enable me to earn appreciation through investments in liquid Mutual Fund investments.

Signature

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Application No.

Specific authorization / consent to Spaisa Capital Limited

This is with reference to my consent to open trading account and demat account with Spaisa Capital Limited. In this regard I/We hereby confirm to have understood and agreed to following:

- 1) I wish to trade in .
- 2) I/We wish to open Depository account with CDSL.
- 3) I/We have agreed with tariff sheet and terms and conditions contained therein.
- 4) I/We have agreed to Running Account Authorisation to Spaisa Capital Limited.
- 5) I/We have agreed to provide authorization for receipt of contract notes and other documents in digital mode.
- 6) I/We have agreed to provide Consent / authorization to avail Margin Trading with Spaisa Capital Limited.
- 7) I/We have provided Mandate / Authorization to for investment in Liquid Funds.

SOLE / FIRST HOLDER

SECOND HOLDER

THIRD HOLDER

Signature

Version :

