



Client Registration Form

ALICE BLUE FINANCIAL SERVICES PRIVATE LTD

Individual / Non Individual

DEMAT & TRADING REGISTRATION

Client id : _____

Client Name : _____

BO ID : _____

Branch/RM Name : _____

Sub-Broker/ AP Name : _____

KRA Status : _____

Terminal Code : _____

PAN No : _____

FOR OFFICE USE ONLY

- NSE Cash, BSE Cash (Cash / Mutual Fund)
- NSE FNO, BSE FNO (FNO)
- NSE Currency, BSE Currency (Currency)
- MCX, NSE (Commodity)

Status :

INSTRUCTIONS / CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS

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

1. Unique Identification Number (UID) (Aadhaar)/ Passport/ Voter ID card/ Driving license.
2. PAN card with photograph.
3. Identity card/ document with applicant's Photo, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities, Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members; and Credit cards/Debit cards issued by Banks.

C. Proof of Address (POA): -List of documents admissible as Proof of Address: (*Documents having an expiry date should be valid on the date of submission.)

1. Passport/ Voters Identity Card/ Ration Card/ Registered Lease or Sale Agreement of Residence/ Driving License/ Flat Maintenance bill/ Insurance Copy.
2. Utility bills like Telephone Bill (only land line), Electricity bill or Gas bill -Not more than 3 months old.
3. Bank Account Statement/Passbook --Not more than 3 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks/Scheduled Co-Operative Bank/Multinational Foreign Banks/Gazette Officer/Notary public/Elected representatives to the Legislative Assembly/Parliament/Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI, ICSI, Bar Council etc., to their Members.
7. For FII/sub account, DDPI given by FII/sub-account to the Custodians (which are duly notarized and/or apostilled or consularised) that gives the registered address should be taken.
8. The proof of address in the name of the spouse may be accepted.

D. Exemptions/clarifications to PAN(*Sufficient documentary evidence in support of such claims to be collected.)

1. In case of transactions undertaken on behalf of Central Government and/or State Government and by officials appointed by Courts e.g. Official liquidator, Court receiver etc.
2. Investors residing in the state of Sikkim.
3. UN entities/multilateral agencies exempt from paying taxes/filing tax returns in India.
4. SIP of Mutual Funds upto Rs 50,000/-p.a.
5. In case of institutional clients, namely, FIIs, MFs, VCFs, FVCIs, Scheduled Commercial Banks, Multilateral and Bilateral Development Financial Institutions, State Industrial Development Corporations, Insurance Companies registered with IRDA and Public Financial Institution as defined under section 4A of the Companies Act, 1956, Custodians shall verify the PAN card details with the original PAN card and provide duly certified copies of such verified PAN details to the intermediary.

E. List of people authorized to attest the documents:

1. Notary Public, Gazette Officer, Manager of a Scheduled Commercial/ Co-operative Bank or Multinational Foreign Banks (Name, Designation & Seal should be affixed on the copy).
2. In case of NRIs, authorized officials of overseas branches of Scheduled Commercial Banks registered in India, Notary Public, Court Magistrate, Judge, Indian Embassy /Consulate General in the country where the client resides are permitted to attest the documents.

Employee Signature

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<p>Registered Office Address : Old No.56/2 ,New No.58, LIC Nagar, Vinayagar Kovil Street, Erode - 8,Tamil Nadu – 638002. Phone : 0424 - 2220124, Fax : 4021124, Correspondence Office : No. 153/2, M.R.B.Arcade, Bagalur Main Road, Dwaraka Nagar, Yelahanka, Banglore - 560 063, Karnataka Email: askus@aliceblueindia.com, Web:aliceblueonline.com, Tel: 07676444362 Compliance officer : Mr. Saravanan R, Contact no: +91 9187210670, Email:compliance@aliceblueindia.com CEO : Mr. M. Sidhavelayutham, Contact No:+91-9187210638, Email:ceodesk@aliceblueindia.com Incase of any grievance the client can send a mail at grievances@aliceblueindia.com</p>																						

GSTIN No : 29AAPCA2445K1Z9

CIN : U65929TZ2017PTC028583

Alice Blue Financial Services Private LTD

No.153/2, M.R.B. Arcade, Bagalur Main Road, Dwaraka Nagar,
Yelahanka, Bangalore - 560063. Karnataka.

DEPOSITORY ACCOUNT DETAILS

Important Instructions

- Leave this Client ID blank if you are opening DP Account along with Trading Account.
- The First Holder in the DP Account must be the Trading Account Holder.

Depository Participant Name: Alice Blue Financial Services Private LTD Beneficiary Name: _____

Depository Name CDSL DP ID: Client ID

Depository Participant Name: _____ Beneficiary Name: _____

Type of Account (Please tick whichever is applicable)

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

Type of Account (Please tick whichever is applicable)

To be filled by the applicant in BLOCK LETTERS in English with a black ballpoint pen)

I / We request you to open a Demat Account in my / our name as per the following details:

Holders Details

Sole/First	<input type="text"/>	<input type="text"/>	<input type="text"/>
Holder's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
UID	<input type="text"/>	PAN	<input type="text"/>
Second	<input type="text"/>	<input type="text"/>	<input type="text"/>
Holder's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
UID	<input type="text"/>	PAN	<input type="text"/>
Third	<input type="text"/>	<input type="text"/>	<input type="text"/>
Holder's Name	<input type="text"/>	<input type="text"/>	<input type="text"/>
UID	<input type="text"/>	PAN	<input type="text"/>

Other Details

Sole / First Holder Gross Annual Income: Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs
 Net Worth : _____ as on date

Occupation Private Sector Agriculture Public Sector Government Services Business Professional
 Retired Housewife Student Forex Dealer Others Please (specify) _____

Second Holder Gross Annual Income: Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs
 Net Worth : _____ as on date

Occupation Private Sector Services Public Sector Government Services Business Professional Agriculturist
 Retired Housewife Student Forex Dealer Others Please (specify) _____

Third Holder Gross Annual Income: Below 1 Lac 1-5 Lac 5-10 Lac 10-25 Lac > 25 Lacs
 Net Worth : _____ as on date

Occupation Private Sector Services Public Sector Government Services Business Professional Agriculturist
 Retired Housewife Student Forex Dealer Others Please (specify) _____

Please tick, If Applicable: Political Exposure Person Related to a Political Exposure Person

Guardian's

Name

PAN Relationship with the applicant _____

C. TRADING PREFERENCES

Please sign in the relevant boxes where you wish to trade. Please strike off the segment not chosen by you.

Exchanges	NSE, BSE		MCX, NSE
All Segments	Cash / Mutual Fund	F&O	Currency Commodity Derivatives

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

Note : If you want to trade on a new segment or exchange in the future, you must submit an additional segment request.**BANK ACCOUNT DETAILS**

Bank Name	Branch Name /Add/Code city, state, country, pincode	Bank A/c No.	A/c Type S/C/O+	MICR Code	IFSC Code

+S-Saving C-Current will not be able to do online fund transfers) O- Others-In case of NRI/NRE/NRO \$ For Demat A/c & Default for Pay out

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

SMS Alert Facility Refer to Terms & Conditions given as Annexure	MOBILE NO. as specified in KYC form) [Mandatory , if you are giving DDPI] if DDPI is not granted & if you do not wish to avail of this facility, please cancel this option).	<input type="checkbox"/>
Easi	To register for easi, please visit our website www.cdslindia.com. Easi allows a BO to view his ISIN balances, transactions and value of the portfolio online.	<input type="checkbox"/>

ADDITIONAL DETAILS (if not marked, the default option would be 'YES')

I/We wish to receive Contract Note and other related reports/statements/documents in electronic mode.	<input type="checkbox"/> Yes <input type="checkbox"/> No
I/We wish to avail of the facility of internet trading/ wireless technology please specify)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mother's Maiden Name _____	
Number of years of Investment/Trading Experience	Years <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> No Experience

I / We instruct the DP to receive each and every credit in my / our account

[Automatic Credit]

(If not marked, the default option would be 'Yes')

 Yes No

Account Statement Requirement:

 Annually As per SEBI Regulation Daily Weekly Fortnightly Monthly

I / We request you to send Electronic Transaction-cum-Holding Statement at the email ID : as specified in KYC form

 Yes No

I / We would like to share the email ID with the RTA

 Yes No

Basic Services Demat A/C facility

 Yes No

I/We wish to receive dividend/interest directly in to my/our bank account as given below through ECS.(If not marked, the default option would be 'Yes')

 Yes No

[ECS is mandatory for locations notified by SEBI from time to time]

I / We would like to receive the Annual Report Physical/ Electronic / Both Physical and Electronic Tick the applicable box. (If not marked the default option would be in Electronic)

I/we would like to instruct the DP to accept all the pledge instructions in My/Our Account without any other further instruction from my/our end

 Yes No

By submitting the form, you agree to open an account with Alice Blue Financial Services Private Limited in electronic-KYC mode.

 Yes No

DECLARATION

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that i.we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of document on policy and procedures of the stock broker and the tariff sheet.
3. I/We future confirm having read and understood the contents of the Rights and Obligation document(s) and Risk Disclosure Document. I/We do hereby agree to be bound by such provisios as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for information on stock brokers designated website,i.e www.aliceblueonline.com.

PLACE :

DATE :

FOR OFFICE USE ONLY (Employee to fill details and sign)

UCC Code allotted to the Client :

We undertake tha 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 if Rights and Obligationsdocument(s),RDD and Guidance Note. We have given/sent him a copy of all the KYC documents would be duly intimated to the clients. We also undertake that any changes in the Rights and Obligations and RDD would be made available on our website, if any, for the information of the clients.

DATE :

Employee Name :

Employee Code :

Employee Signature

INSTRUCTIONS/ CHECK LIST

1. Additional documents in case of trading in derivatives segments - illustrative list

- Copy of ITR Acknowledgement
- Copy of Annual Accounts
- In case of salary income - Salary Stdp, Copy of Form 16
- Net worth certificate
- Copy of demat account holding statement
- Bank account statement for last 6 months

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

2. Copy of cancelled cheque leaf/ pass book/bank statement specifying name of the constituent, MICR Code or/and IFSC Code of the bank should be submitted.

3. Demat master or recent holding statement issued by DP bearing name of the client.

4. For individuals:

- Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker/sub-broker's office.
- In case of non-resident ctidents, employees at the stock broker's local office, overseas can do in-person' verification. Further, considering the infeasibitdy of carrying out 'In-person' verification of the non-resident ctidents by the stock broker's staff, attestation of KYC documents by Notary Pubtdc, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the ctident resides may be permitted.

5. For non-individuals:

- Form need to be initialized by all the authorized signatories.
- Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company/firm/others and their specimen signatures.

**ANNEXURE - REGULAR / BASIC SERVICES DEMAT ACCOUNT (BSDA) AND SEPARATE
MOBILE NUMBER & EMAIL ID DECLARATION**

DECLARATION BY DEMAT ACCOUNT HOLDER/s

DATE :

Application No.

DP ID

Client ID

Dear Sir/Madam,

The appended tariff will be applicable for the customer opting Regular/Basic services Demat Account.

ANNEXURE - REGULAR / BASIC SERVICES DEMAT ACCOUNT (BSDA)

		<input type="checkbox"/> I wish to open a Regular Demat Account	
Sr. No	Nature of Services	Basic Services Demat Account(BSDA)	
		Fees	Min
1	Account Opening Charges	0.00	
2	Debit Transaction Equity/Mutual Funds(Market/Off Market)	0.04% Of the value of the txn	Rs. 20/- Rs. 25/- Rs. 40/-
		Male - Rs 3.50 (CDSL) + RS 16.50 (Alice Charge) Female - Rs 3.25 (CDSL) + Rs 16.75 (Alice Charge)	
3	Debit Transaction Equity/Mutual Funds(Market/Off Market)	0.04% Of the value of the txn (Max Rs. 5000/-)	Rs. 20/- Rs. 25/- Rs. 40/-
4	Credit transactions	Nil	
5	Pledge Services (Creation/Invocation/Closure)	0.02% Of the value of the txn	Rs. 40/-
		0.04% Of the value of the txn	Rs. 40/-
6	Reissuance of Delivery Instruction Booklet(DIB)	Rs. 100/- per Booklet	
7	Dematerialisation Certificate + Dematerialisation Request	Rs.5/- per Certificate + Rs.35/- per request	Rs.40/-
8	Rematerialisation	Rematerialisation Request	Rs.30/- per request+NSDL/CDSL actual,Currently a) Rs. 10/- for every hundred securities or part thereof a flat fee of Rs.10/- per certificate whichever is higher
		Reconversion of Mutual Funds/Redemption of mutual fund units	Rs.40/-(min) Rs.5,00,000(max)
			Reconversion of Mutual Funds Rs 30/- per request + NSDL/CDSL actual, Currently Rs 5.50/- per request in CDSL Redemption of Mutual Funds Rs 30/- per request + NSDL/CDSL actual, Currently Rs 5.50/- per request in CDSL
9	Courier/Postal charges only (Adhoc Statement)	Rs. 100/- per request	
		Rs. 500/- per request	
10	Annual Maintenance Charges	Nil	
11	DDPI E-stamping charges	Applicable as per stamp paper value, processing fee + GST	

Terms & Conditions:

1. Demat customers eligible for the BSDA facility need to register their mobile number for the SMS alert facility for debit transactions.
2. The above charges are exclusive of GST levied @ 18% and other taxes/statutory charges levied by government bodies/statutory authorities from time to time, which will be charged as applicable.
3. In case the Demat accounts with BSDA facility does not meet the listed eligibility as per guideline issues by SEBI or any such authority at any point of time, such BSDA accounts will be converted to Standard Program Demat accounts without further reference to the respective customers and will be levied standard program pricing.
4. In case if the Demat accounts with BSDA facility exceed the prescribed limits and move out of the stipulated BSDA criteria, the eligibility of such accounts for BSDA facility will be evaluated on the last day of the Annual billing cycle.
5. The value of the transaction will be in accordance with rates provided by Depositories (NSDL/CDSL).
6. The transaction charges will be payable monthly. The charges quoted above are for the services listed. Any services not quoted above will be charged separately.
7. The operating instructions for the joint accounts must be signed by all the holders.
8. All instructions for transfer must be received at the designated DP servicing branches at least 24 hours before the execution date.
9. The charges for processing of instructions submitted on the execution date (accepted at client risk) will be 0.25% on the value of transaction, minimum of RS.25/- per instruction.
10. In case of non-recovery of Debit charges due to inadequate balance in your lined trading account or inadequate advances fees or invalid trading account, the Depository services for your account will be temporarily discontinued. Any request for resuming the services will be charged at Rs.250/- and services for your account will be temporarily discontinued. Any request for resuming the services will be charged at Rs.250/- and services will be resumed in a minimum of three working days from the date of receipt of request with Alice Blue Financial Services Private Ltd and post payment of all outstanding dues towards depository charges.
11. In case the Demat accounts are with nil balances/transactions or in case if the customer defaults in payment of AMC, the physical statement shall not be sent to the customer after period of year. However the electronic statement of holding will be sent only to the customers whose email IDs are registered for e-statement.

SEPARATE MOBILE NUMBER & EMAIL ID DECLARATION

	Name of the Customer	Mobile Number	Email ID of the customer
1st Account holder			
2nd Account holder			
3rd Account holder			
Signature 1st holder	Signature 2nd holder (if applicable)	Signature 3rd holder (if applicable)	

FOREIGN ACCOUNT TAX COMPLIANCE ACT(FATCA) DECLARATION

Client Code: _____ DP ID/ Client ID: _____

Place/City of Birth: _____ ISO Country Code of Birth: IN

IS your Country of Tax Residency other than India Yes No
 (Please tick at appropriate place)

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

S No.	Country of Tax Residency	Tax Payer Identification Number / Functional Equivalent	Identification Type (TIN or other, please specify)
1.			
2.			
3.			

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

Declaration:

I acknowledge and confirm that the information provided above is true and correct to the best of my knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I am aware that I may liable for it. I hereby authorize you to disclose, share, rely, remit in any form, mode or manner, all / any of the information provided by me, including all changes, updates to such information as and when provided by me to / any of the Regulators, their employees ('the Authorized parties') or any Indian or foreign governmental or statutory or judicial authorities / agencies including but not limited to the Financial Intelligence Unit - India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me of the same.

Further, I authorize you to share the given information to other SEBI Registered Intermediaries/or any other regulated intermediaries registered with SEBI / RBI / IRDA / PFRDA to facilitate single submission / update & for other relevant purposes. I also undertake to keep you informed in writing about any changes / modification to the above information in future and also undertake to provide any other additional information as may be required at your end or by domestic or overseas regulators / tax authorities. I/We authorize you to provide relevant information to the above regulators and to enable withholding any sums from my account or close or suspend my account(s) without any obligation of advising me of the same.

Signature :

Name of the Client: _____

Date: _____

Place: _____

**EXTENDED KYC ANNEXURE - INDIVIDUALS (Including Sole - Proprietors) FATCA/CRS
(Applicable for Resident and Non-Resident Customers)**

CBDT Terms and Conditions

The Central Board of Direct Taxes (CBDT) has notified rules 114F to 114H, as a part of the Incometax Rules, 1962, which Rules require indian financial institutions such as the Bank to seek additional personal, tax and beneficial owner information and certain certifications and documentation from all our account holders. In relevant cases, information will have to be reported to tax authorities / appointed agencies. Towards compliance, we may also be required to provide information to any institution such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation there to. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Please note that you may receive more than one request of information if you have multiple relationships with Alice Blue Financial services Private Ltd. or its group entities. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

CBDT Instruction

If you have any questions about your tax residency, please contact your tax advisor. If you are a US citizen or resident or green card holder, please include United States in the foreign country information field along with your US Tax Identification Number. It is mandatory to supply a TIN or functional equivalent if the country in which you are tax resident issues such identifiers. If no TIN is yet available or has not yet been issued, please provide an explanation and attach this to the form.

In case customer has the following Indicia pertaining to a foreign country and yet declares self to be non-tax resident in the respective country, customer to provide relevant Curing Documents as mentioned below:

FATCA/CRS Indicia observed (ticked)	Documentation required for cure of FATCA/CRS Indicia
	If customer does not agree to be specified U.S. person/reportable person status
U.S. Place of Birth	1. Self -certification (in attached format) that the account holder is neither a citizen of United States of America nor a resident for tax purposes. 2. Non-US passport or any non-US government issues document evidencing nationality or citizenship (refer list below) AND 3. Any one of the following documents: a. Certified Copy of Certificate of loss of Nationality or b. Reasonable explanation of why the customer does not have such a certificate despite renouncing US citizenship? or Reasin the customer did not obtain U.S. citizenship at birth.
Residence/mailling address in a country other than India.	1. Self-Certification (in attached format) that the account holder is neither a citizen of united states of America nor a resident for tax purposes and 2. Documentary evidence (refer list below)
Telephone number in a country other than India (and no telephone number in India provided)	1. Self-Certification (in attached format) that the account holder is neither a citizen of united states of America nor a resident for tax purposes and 2. Documentary evidence (refer list below)
Telephone number in a country other than India (and no telephone number in India provided)	1. Standing instruction to transfer to an account maintained in a country other than India 2. Documentary evidence (refer list below)

List of acceptable documentary evidence needed to establish the residence(s) for tax purposes:

1. Certificate of residence issues by an authorized government body *
2. Valid identification issued by an authorized government body* (e.g.Passport, National Identity Card,etc.)

***Government or agency there of or a municipality**

For Alice Blue Financial Services Private Ltd/ Alice Blue Financial Services

Sourcing Branch Name _____

Branch Code _____

Signature Verified and form approved by : BDA/BM employee Code : _____

Signature :

TARIFF

Brokerage - T20	
Equity Cash Delivery (NSE / BSE)	Rs.20 per order or 2.5 % (whichever is lower)
Equity Cash Intraday (NSE/BSE)	Rs.20 per order or 0.05 % (whichever is lower)
Futures (NFO/BFO/MCX)	Rs.20 per order or 0.05 % (whichever is lower)
NSE & MCX Options	Rs.20 per order
Currency Futures (NSE & BSE)	Rs.20 per order or 0.05 % (whichever is lower)
Currency Options (NSE & BSE)	Rs.20 per order
Other Charges	
Documentation / Processing Charges	0
For Physical Contract Notes/statements	Actual Postage Charges
For Cheque Bounce/ Cheque Cancellation	Rs. 500 Per Cheque Plus GST
Interest On Delayed Payment	24% PA (posted on Daily basis)
Delivery instruction Book Charges	Rs. 100 + GST (From 2nd book request)
Bracket Order Charges	Rs. 4 + GST (per order)
Square Off Charges	Rs. 50 + GST (per order)
Call and Trade Charges	Rs. 50 + GST (per order)
Payment Gateway Charges	Rs. 10 + GST
DDPI Charges	Rs. 150 + GST
Statutory Charges: GST , STT , Exchange Transaction Charges , Stamp Duty, etc are applicable as Per rules	

Signature:

Place _____

VOLUNTARY DOCUMENTS

RUNNING ACCOUNT AUTHORISATION

I/We are dealing through you as a client in order to facilitate ease of operations and upfront requirement of margin for trade. I/We request you to maintain running balance in my own/our account & retain the credit balance in any of my/our account and to use the unused funds towards my/our margin pay-in/other future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation unless I/We instruct you otherwise. I/We request you to retain securities with you for my/our margin/payin/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. I/We request you to settle my/our fund and securities account (choose any one).

Quarterly or Monthly

Except the funds given towards collaterals / margin in the form of Bank Guarantee and / or Fixed Deposit Receipt.

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 be required to meet margin obligation for next 5 trading days, calculated in the manner specified by the exchanges. I/We confirm you that I/We will bring to your notice any dispute arising from the statement of account or settlement so made in writing 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/We can revoke the above mentioned authority at any time.

DISCLOSURE FOR PROPRIETARY TRADING BY ABFSPL

Pursuant to SEBI Circular Number SEBI/MRD/SEC/Cir-42/2003 dated November 19,2003. ABFSPL discloses to its clients about its policies on Proprietary trades. ABFSPL does proprietary trades in the cash and derivatives segment.

CONSENT FOR ADDITIONAL RIGHTS & OBLIGATIONS / TARIFF SHEET

I acknowledge and declare that i have received in physical / electronic, and I acknowledge to have read & understood the Mandatory Documents and same will be considered as acknowledgment of receipt.I/We understand that is also displayed for information on designated website of www.aliceblueindia.com and shall abide by the same

1. Rights and Obligations for Capital Market,Derivatives ,Currency Derivatives,MTF and Commodity .
2. Rights and Obligations of the BO and DP.
3. Risk Disclosure Document (RDD)
4. Guidance Note - Do's and Don'ts for trading on the Exchange(s) for investors
5. Policies and Procedures Document pursuant to the SEBI circular dated December 03, 2009 (www.aliceblueonline.com)
6. Terms & Conditions
7. Terms & Conditions for MTF
8. Investor Charter for Stock Broker and Depositories.
9. Terms And Conditions for availing Transaction Using Secured Texting (TRUST) Services offered by CDSL

NAME :

DATE : **PLACE :**

CLIENT REGISTRATION FORM - MUTUAL FUND

MUTUAL FUND SERVICES SYSTEM FACILITY (MFSS)/ BSE STAR MF CLIENT REGISTRATION FORM

I/we am/are registered as your client with the client code _____ for the purpose of trading in the capital Market Segment of national Stock Exchange of India Ltd. (Exchange) / BSE Ltd.

I/we am/are interested in availing the MFSS/BSE StAR MF Facility of the Exchange for the purpose of dealing in the units of mutual Funds Schemes permitted to be dealt with on the MFSS/BSE StAR MF of the Exchange.

For the purpose of availing the MFSS/BSE StAR MF facility, I/WE state that know your client details as submitted by me/us for the stock broking may be considered for the purpose of MFSS/BSE StAR MF and I/WE further confirm that the details contained in same remain unchanged as on date, I/WE are willing to abide by the terms and conditions as mentioned in the circular dated November 24, 2009 (NSE)/December 02, 2009 (BSE) and as may be specified by the Exchange from the time to time by Securities and Exchange Board of India(SEBI) and Association of Mutual Funds of India (AMFI).

I/We shall read and understand the contents of the Scheme Information Document and Key information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I/We choose to subscribe/redeem. I/We further agree to abide by the terms and conditions, rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the MFSS / BSE StAR MF.

I/We hereby confirm having read and understood the terms and conditions and disclosures provided overleaf.

For Mfss(NSE)

For BSE StAR MF

DETAILS OF TERMS & CONDITIONS FOR THE INVESTOR / CLIENT FOR USING NEW MFSS FACILITIES / BSE STAR MF PLATFORM

1. Pre - requisites for becoming investor / Client for the New MFSS facility / BSE StAR MF platform.

1.1. The Client who is desirous of investing in units of Mutual Fund Schemes through the New MFSS/the BSE StAR MF.

1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Funds Schemes through the Participant/the broker who is a Mutual Fund Intermediary(MFI) of the new MFSS/BSE StAR MF platform.

1.3. The Client has satisfied itself of the capacity of the Participation/MFI to deal in Mutual Fund units and wishes to execute its instruction through the Participant/MFI and the client shall from time to time continue to satisfy itself of such capability of the participant/MFI before executing transacting through the participant/MFI.

1.4. The Client has submitted relevant KYV (Know Your Client) details to the participant/MFIs.

2. Terms and conditions

2.1. The Client shall be bound by circulars/notices issues by NSEIL/BSE from time to time including the circulars issues by NSEIL since 2009 onwards and circulars issues there after and circulars issues there under SEBI and relevant notifications of Government authorities as may be in force from time to time.

2.2. The Client shall notify the Participant/MFI in writing if there is any change in the information in the client registration form provided by the client to the Participant/MFI at the time registering as a client for participating in the new MFSS/StAR MF platform or any time there after.

2.3. The Client shall submit to the participation/MFI a completed application form in the manner prescribed format for the purpose of placing a order with the participant/MFI.

2.4. The Client has read and understood the risks involved in investing in Mutual Fund Schemes.

2.5. The Client shall be wholly responsible for all his investment decision and instruction.

2.6. The Client shall ensure continuous compliance with the requirement of NSEIL/BSE, SEI and AMFI.

2.7. The Client shall pay to the Participant /MFI fees and statutory levies as are prevailing from time to time and as they apply to the Client's account, transactions and to the services that Participant/MFI renders to the Client.

2.8. The Client will furnish information to the Participant/MFI in writing, if any winding up petition or insolvency petition has been filed or decree or award is passed against him or if any litigation which may have material bearing on his capacity has been filed against him.

2.9. In the event of non-performance of the obligation by the Participant/MFI, the client is not entitled to claim any compensation either from the investor Protection Fund or from any fund of NSEIL/MFIs or NSCCL/Indian Clearing Corporation LTD.(ICCL).

2.10. in case of any dispute between then Participants/MFIs and then investors arising out of the MFSS facility/BSE StAR MF platform, NSEIL/BSE and / or NSCCL/ICCL agrees to extend the necessary support for the speedy redressal of then disputes.

Declaration: I am fully aware that - I would need to keep clear that balances in my DP accounts for the transaction to be processed.

- I have understood then terms and conditions attached herewith and agreed to the same.

- I have understood Alice Blue Securities Private Ltd will place my order on a best effort basis. - MutualFund Investments are subject to mark risk, please read the statement of Additional Information (SAI)/Offer document(OD)/Scheme Information document(SID) carefully investing.

Alice Blue Financial Services Private Ltd Offers execution based services only.

DISCLOSURE BY MEMBER TO CLIENT UNDER PMLA 2002

Dear Client,

Subject: Prevention of Money Laundering

Money laundering is a process of making dirty money clean. Money is moved around the financial system again and again in such manner that its origin gets hidden. It involves complex chain of activities where by huge amount of money generated from illegitimate activities viz. selling of narcotoc drugs, extortion, corruption, illicit dealing in weapons, human trafficking, etc. is put through a series of process so that it comes out at the other end as clean and legal money. Terrorist organizations encourage money laundering to support their illegal acts. It is important to note that due to increased vigilance in the wake of threats emanating from increasing terrorism, any failure on our part to discharge the duties cast on us under the applicable laws or we becoming an instrumental or apart of the chain, even if unknowingly or ignorantly, may invite the trouble. In order to fight against the money laundering and terrorist financing the prevention of Money Laundering Act (PMLA) was brought into force w.e.f July 1, 2005 in India. Guidelines were also issued in the context of the recommendations made by the Financial Action Task Force on anti- money laundering standards. Compliance with these standards has become imperative for international financial relations. PMLA is applicable to every intermediary registered with SEBI, which includes a Commodity Brokers and any other intermediary associated with Commodities Market. As per the provisions of PMLA, the intermediaries are required to comply with Know Your Client (KYC) norms, conduct ongoing client due diligence to ensure that the activity being conducted in any account is consistent with the intermediary's knowledge of the client, its business and risk profile. In light of the above, you are requested to provide the information or documents evidencing source of funds, income tax returns, bank records, demat holding, etc. at the time of registration as a client with us or subsequently whenever asked for during the course of your dealings with us.

DISCLOSURE BY CLIENT UNDER PMLA 2002

Client Name:

Details of the Corporate/Partnership Firm/Trust/etc. where I/We am/are affiliated

S.No	Name	Entity Type	Nature of Business	Relationship	PAN

I/We hereby submit and agree to submit as the commitment every financial year following documents to Alice Blue Financial services Private Ltd

1. Audited Annual Accounts
2. Self attested copy of Income Tax Return or
3. Any other Financial information as requested by the Alice Blue Financial services Private Ltd

I/We further confirm that I/We invest in the Commodity Market with:

- My/our owned funds
- Borrowed Funds from Bank/NBFC or
- Borrowed Funds from others

I/We hereby declare that I/We am/are not doing any benami transactions in my/our account. I/We understand that in case of any Cash/ Suspicious/ Benami transactions beign observed into my account, the Member may report the same to Director FIU-IND, New Delhi under the provisions of PMLA, 2002 and thereafter I/we will be liable for any enquiry or penalty which might be levy by the Regulatory Authority under the said Act

Signature of Client

Jurisdiction Declartion

Any claim, dispute or difference hereto in respect of this Document/Terms and conditions or any contracts, trades, dealings or transactions pursuant hereto or any rights, obligations, terms or conditions as contained in this Document or the interpretation or construction of this Document shall be subject to the grievance redressal procedure of the concerned Exchange and shall be subject to the arbitration procedure as prescribed by the Rules, Bye-laws, Regulations of the Exchange and circulars issued thereunder from time to time. ABFSL and the Clients are aware of the provisions of the Bye-Laws, Rules and Regulations of the concerned Exchange relating to arbitration. The terms specified shall be governed by and interpreted and construed in accordance with the laws of India. The courts at Bangalore, India shall have exclusive jurisdiction in respect of any matters arising there from.

Signature of Client

ADDITIONAL UNDERTAKING



To,
Alice Blue Financial Services Private Limited,
Bangalore

Client Code: _____

Client Name: _____

We hereby undertake that the Alice Blue Financial Services Private limited has not offered any Fixed/Assured Return schemes and we shall agree not to demand any such assured return from the Alice blue and the Member has explained in RISK disclosure the risk involved in trading in the securities Market.

Date: _____

Client Signature:

General Advisory:

1. Investor Beware of Assured/Fixed Return Schemes/Login Credential sharing and Others.
2. This is a general advisory to all our clients. Alice Blue Financial Services Private limited is not engaged/Associated in any non-permitted activities such as providing Assured/Guaranteed return schemes.
3. You are requested to be cautioned and advised not to subscribe to any such scheme/ product offered by any persons /entity offering indicative/ assured / guaranteed returns or if any, such schemes are not permitted under the SEBI Bye -law rules and Regulations.
4. Participation in such prohibited schemes is at investors' own risk, cost and consequences as such schemes are neither approved nor endorsed by the Exchange.
5. Do not share your trading account login credentials with anyone. Investors shall abstain themselves from sharing their login credentials, OTP with any third party.
6. Alice Blue shall not be responsible if involved for any such kind of indulged activities.

Multiple demat account declaration:

Do you have multiple demat accounts across Different Depository Participants (DPs)? Yes No

Select Option:

Description:

Most Important Terms and Conditions (MITC)



(For non-custodial settled trading accounts)

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

Consent to avail Margin Trading Facility



To,

Alice Blue Financial Services Private LTD

No.153/2, M.R.B. Arcade, Bagalur Main Road,

Dwaraka Nagar, Yelahanka,

Bangalore - 560063. Karnataka

Dear Sir,

I / we wish to avail the Margin Trading Facility (MTF) on the platform of National Stock Exchange of India Ltd., (NSE) as per the framework prescribed by SEBI vide its Circular No. CIR/MRD/DP/54/2017 dated, 13th Jun 2017.

I/We hereby confirm that I /we had read and understood & agree with the right and obligation as prescribed by NSE/BSE & SEBI.I/ we have read and understood the "Policies & Procedures for MTF" as specified by Alice Blue Financial Services Private limited regarding terms and conditions of Margin Trading Facility, method of communication for confirmation of orders / trades, margin calls and calls for liquidation of collateral / securities / positions etc. and agreed to abide by the clauses mentioned therein all the times. The same is also available on the company website www.aliceblueonline.com from where we can see and download the same in future if any change done.

I have read and accepted the [Terms and Conditions](#) of the Margin Trading Facility.

Client Code: _____

Client Signature: _____

Client Photo

IPV on

Signature

Signature on

Bank Proof

Account Holder Name :

Account Number :

IFSC Code :

Verified by penny drop.