G-II, Ground Floor, Dalamal House, Nariman Point, Mumbai 400021. Tel: 022 4076 7373,
Fax: 022 4076 7377, Email Id: compliance@kslindia.com,
DP ID: 12081000 SEBI Regn No.: INZ000176837, SEBI DP Regn No.: IN-DP-55-2015
CIN No.: L67120MH1993PLC070709

Account detail's Addition / Modification /Re-Activation/ Deletion Request Form

(Please fill all the details in **BLOCK LETTERS** in English) **Date: / /**

App. No.		DEMAT ID	12081000	CLIENT ID	0000					TRADING CODE	
1st HOLDER NAME							PAN NO.				
2nd HOLDER NAME							PAN NO.				
3rd HOLDER NAME							PAN NO.				

I/We request you to make the following **Additions / Modifications /Re-activation / Deletion** to my/our above mentioned account.
In case of **re-activation**, Change in existing details with Khandwala Securities Limited **( ) YES ( ) NO**
(If YES, then kindly submit the latest relevant documents to update the same in our records)

Please select (√) the fields for which you want addition / modification / re-activation / deletion in your above account(s)					
( ) **ADDITION**	( ) **MODIFICATION**	**( ) RE-ACTIVATION**	( ) **DELETION**		
( ) **Bank**	( ) Address ( ) Correspondence ( ) Permanent ( ) Income Details	( ) Demat	( ) Contact No.	( ) Signature	( )Email id
I/We request to carry out the change of address / signature in the ( ) Demat Account ( ) Trading account ( )CKYC					

Sr. No.	Mention details as Bank, Address, Demat A/c, Contact No., Email Id, Signature, Income details	Existing Detail's	New/Modified Detail's
1			

(**Reason for change in Signature** : **Due to change in Authorized signatories**)
ECN activation and other electronic communication for Trading and Demat Account: ( ) Yes ( ) No
I/We hereby give our consent and authorized you to send digital contract notes, bill, ledgers, statement of funds and securities, transaction statements, Monthly/Quarterly Demat statements of accounts/holding statement(s)/bills or other reports, statement(s), related notices circulars. Amendments and such other correspondence, documents, records by whatever name called (hereafter referred to as "statement(s) issued from time to time, at the above mentioned new email id_______________________________________

	First / Sole Holder	**Second Holder**	**Third Holder**
Signature			

Declaration: I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief. In case any of the above mentioned 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.

IPV DETAIL'S	**SIGNATURE**	**In-Person Verification Done by**	**Designation**	**Date Of IPV**

Acknowledge Receipt Date: / /20

App. No.		DEMAT ID	12081000	CLIENT ID									TRADING CODE	
First Holder Name														
Second Holder Name														
Third Holder Name														
Modification Request for: (Specify reason)														

For Khandwala Securities Limited

N

Know Your Client (KYC) Application Form (For NON-Individuals Only)

☐ NEW ☐ CHANGE REQUEST(please tick ✓ the appropriate)
(Please tick ✓ the box on the left margin of appropriate row where CHANGE/ CORRECTION is required and provide the details in the corresponding row)
Please fill this form in English and in Block Letters

KHANDWALA SECURITIES LIMITED

Acknowledgement No. ____________

Khandwala Securities Limited
G-II, Ground Floor, Dalamal House,
Nariman Point, Mumbai 400021

A. Identity Details (please see guidelines overleaf)

PHOTOGRAPH of Authorised Person
Please affix the recent passport size photograph and sign across it

Signature/ Thumb Impression

☐ 1. Name of Applicant

☐ 2. a. Date of Incorporation d d m m y y y y   2. a. PAN

3. Date of commencement of business: d d m m y y y y

☐ 4. a. Place of incorporation:

☐ 4. b. Registration No. (e.g. CIN):

☐ 5. Status Please tick (✓) any one ☐ Private Limited Co. ☐ Public Ltd. Co ☐ Body Corporate ☐ Partnership
☐ Trust ☐ Charities ☐ NGO's ☐ FI ☐ FII ☐ HUF ☐ AOP ☐ Bank ☐ Government Body (1)
☐ Non-Government Organization ☐ Defense Establishment ☐ BOI ☐ Society ☐ LLP
☐ FPI - Category I ☐ FPI - Category II ☐ FPI - Category III ☐ Others (please specify)

B. Address Details

☐ 1. Address for Correspondence

City/Town/Village   Pin Code
State   Country

☐ 2. Registered Address (if different from correspondence address)

City/Town/Village   Pin Code
State   Country

☐ 3. Contact Details

Tel.(Off.) (ISD) (STD)   Tel.(Res) (ISD) (STD)
Mobile (ISD) (STD)   Fax (ISD) (STD)
E-Mail ID.

☐ 4. Specify the proof of address submitted for correspondence address:

☐ 5. Specify the proof of address submitted for registered address:

C. Other Details

☐ 1. **Gross Annual Income Details** (Please tick (✓)) ☐ Below 1 Lakh ☐ 1-5 Lakhs ☐ 5-10 Lakhs ☐ 10-25 Lakhs ☐ 25-1 Crore ☐ > 1 Crore

☐ 2. **Net-worth in ₹.** (*Net worth should not be older than 1 year) **as on (date)** d d / m m / y y y y **Rs.**

☐ 3. **Detail of Authorised Director / Promoter / Karta / Partner etc.**

Name

PAN   **Registered Address**

City/Town/Village   Pin Code
State   Country

☐ 4. **DIN/UID of Promoters/Partners/Karta and whole time directors:** (Please provide details in the enclosed sheets)

☐ 5. **Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:**
☐ **Politically Exposed Person (PEP)**   ☐ **Related to Politically Exposed Person (PEP)**

☐ 6. **Any other information:**

DECLARATION

I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/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.

Date : d d / m m / y y y y   Name :   (2)

Name & Signature

FOR OFFICE USE ONLY

IPV Details	Signature	Name of Person who has done IPV	Employee ID	Designation	Date of IPV

KHANDWALA SECURITIES LIMITED

☐ Originals Verified and self attested documents copies received

For KHANDWALA SECURITIES LIMITED

Authorised Signatory

Date:

KHANDWALA SECURITIES LIMITED

Attention: Please recheck your Email ID and Mobile Number provided by you.

INSTRUCTIONS/CHECK LIST FOR FILLING KYC FORM

A. IMPORTANT POINTS:

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

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

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

C. Proof of Address (POA): - List of documents admissible as Proof of Address:

(*Documents having an expiry date should be valid on the date of submission.)

1. Passport / Voters Identity Card/Ration Card/Unique Identification Number (UID)/ Aadhar Letter/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 2 months old.
3. Bank Account Statement/Passbook-Not more than 2 months old.
4. Self-declaration by High Court and Supreme Court judges, giving the new address in respect of their own accounts.
5. Proof of address issued by any of the following: Bank Managers of Scheduled Commercial Banks / Scheduled Co-Operative Bank / Multinational Foreign Banks / Gazetted Officer / Notary public / Elected representatives to the Legislative Assembly / Parliament / Documents issued by any Govt. or Statutory Authority.
6. Identity card/document with address, issued by any of the following: Central/State Government and its Departments, Statutory/Regulatory Authorities, Public Sector Undertakings, Scheduled Commercial Banks, Public Financial Institutions, Colleges affiliated to Universities and Professional Bodies such as ICAI, ICWAI. ICSI, Bar Council etc., to their Members.
7. For Fil/sub account, Power of Attorney given by FII/sub-account to the Custodians (which are duly notarized and/or apostiled 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 lax returns in India.
4. SIP of Mutual Funds upto Rs 50, 000/- p.a.
5. In case of institutional clients, namely, Flis, MFs, VCFs. FVCls, 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 authorised to attest the documents:

1. Notary Public, Gazetted Officer, Manager oi a Scheduled Commercial / Co-opera live Bank or Multinational Foreign Banks (Name, Designation&. Seal should be affixed on the copy).
2. In case of NRls, authorised 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.

Types of entity	Documentary Requirements
Corporate	☐ Copy of the balance sheets for the last 2 financial years (to be submitted every year). ☐ Copy of latest share holding pattern including list of all those holding control, either directly or indirectly, in the company in terms of SEBI takeover Regulations, duly certified by the company secretary/Whole time director/MD (to be submitted every year). ☐ Photograph, POI , POA, PAN and DIN numbers of whole time directors/two directors in charge of day to day operations. ☐ Photograph, POI, POA, PAN of individual promoters holding control - either directly or indirectly. ☐ Copies of the Memorandum and Articles of Association and certificate of incorporation. ☐ Copy of the Board Resolution for investment in securities market. ☐ Authorised signatories list with specimen signatures.
Partnership firm	☐ Copy of the balance sheets for the last 2 financial years (to be submitted every year). ☐ Certificate of registration (for registered partnership firms only). ☐ Copy of partnership deed. ☐ Authorised signatories list with specimen signatures. ☐ Photograph, POI. POA, PAN of Partners.
Trust	☐ Copy of the balance sheets for the last 2 financial years (to be submitted every year). ☐ Certificate of registration (for registered trust only). ☐ Copy of Trust deed. ☐ List of trustees certified by managing trustees/CA. ☐ Photograph, POI, POA, PAN of Trustees.
HUF	☐ PAN of HUF. ☐ Deed of declaration of HUF/ List of coparceners. ☐ Bank pass-book/bank statement in the name of HUF. ☐ Photograph, POI, POA, PAN of Karla.
Unincorporated association or a body of individuals	☐ Proof of Existence/Constitution document. ☐ Resolution of the managing body & Power of Attorney granted to transact business on its behalf. ☐ Authorised signatories list with specimen signatures.
Banks/ Institutional Investors	☐ Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years. ☐ Authorised signatories list with specimen signatures.
Foreign Institutional Investors (FII)	☐ Copy of SEBI registration certificate. ☐ Authorised signatories list with specimen signatures.
Army/ Government Bodies	☐ Self-certification on letterhead. ☐ Authorised signatories list with specimen signatures.
Registered Society	☐ Copy of Registration Certificate under Societies Registration Act. ☐ List of Managing Committee members. ☐ Committee resolution for persons authorised to act as authorised signatories with specimen signatures.

Details of PROMOTERS / PARTNERS / KARTA / WHOLE TIME DIRECTORS / CO- PARCERNERS ETC) PAN Card of the Applicant -

For Abbreviation of PEP / RPEP / NPEP / NRPEP please refer to page no. 12

1. Name
2. Please tick, if applicable : PEP RPEP NPEP NRPEP
3. Relationship with Applicant *(i.e. promoters, whole time directors etc.)*
4a. PAN 4b. DIN
4c. Aadhar (UID) Number * * * * * * * * Tel/Mobile
5. Residential/ Registered Address
City / Town / Village Pin Code
State Country

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it with seal

1. Name
2. Please tick, if applicable : PEP RPEP NPEP NRPEP
3. Relationship with Applicant *(i.e. promoters, whole time directors etc.)*
4a. PAN 4b. DIN
4c. Aadhar (UID) Number * * * * * * * * Tel/Mobile
5. Residential/ Registered Address
City / Town / Village Pin Code
State Country

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it with seal

1. Name
2. Please tick, if applicable : PEP RPEP NPEP NRPEP
3. Relationship with Applicant *(i.e. promoters, whole time directors etc.)*
4a. PAN 4b. DIN
4c. Aadhar (UID) Number * * * * * * * * Tel/Mobile
5. Residential/ Registered Address
City / Town / Village Pin Code
State Country

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it with seal

1. Name
2. Please tick, if applicable : PEP RPEP NPEP NRPEP
3. Relationship with Applicant *(i.e. promoters, whole time directors etc.)*
4a. PAN 4b. DIN
4c. Aadhar (UID) Number * * * * * * * * Tel/Mobile
5. Residential/ Registered Address
City / Town / Village Pin Code
State Country

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it with seal

1. Name
2. Please tick, if applicable : PEP RPEP NPEP NRPEP
3. Relationship with Applicant *(i.e. promoters, whole time directors etc.)*
4a. PAN 4b. DIN
4c. Aadhar (UID) Number * * * * * * * * Tel/Mobile
5. Residential/ Registered Address
City / Town / Village Pin Code
State Country

PHOTOGRAPH
Please affix your recent passport size photograph and sign across it with seal

KHANDWALA SECURITIES LIMITED

(3)

Name & Signature of the Authorised Signatory (ies)

KHANDWALA SECURITIES LIMITED

FATCA-CRS Declaration - ☐ Indivdual ☐ Non - Individual Entities

(Please consult your professional tax advisor for further guidance on your tax residency, FATCA / CRS Guidance)

PAN* ______ Name ______

Type of address given at KYC KRA: ☐ Residential ☐ Residential or Business ☐ Business ☐ Registered Office

City of incorporation ______ Country of incorporation ______

Is the entity involved in / providing any of these services:	Foreign Exchange / Money Changer Services	YES / NO ✓	Gaming / Gambling / Lottery Services [e.g. casinos, betting syndicates]	YES / NO ✓	Money Laundering / Pawning	YES / NO ✓	Any other information [if applicable]

Entity Constitution Type
Please tick as appropriate

☐ *Partnership Firm* ☐ *HUF* ☐ *Private Limited Company* ☐ *Public Limited Company* ☐ *Society* ☐ *AOP/BOI*
☐ *Trust* ☐ *Liquidator* ☐ *Limited Liability Partnership* ☐ *Artificial Juridical Person* ☐ *Others specify* ______

Please tick the applicable tax resident declaration -

1. Is "Entity" a tax resident of any country other than India ☐ Yes ☐ No *(If yes, please provide country/ies in which the entity is a resident for tax purposes and the associated Tax ID number below.)*

Country	Tax Identification Number	Identification Type *(TIN or Other, please specify)*

%In case Tax Identification Number is not available, kindly provide its functional equivalent or Company Identification Number or Global Entity Identification Number.

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

FATCA Declaration

PART A *(to be filled by Financial Institutions or Direct Reporting NFFEs)*

1. We are a,
Financial institution ☐
or
Direct reporting NFFE ☐
(please tick as appropriate)

GIIN ______

Note: *If you do not have a GIIN but you are sponsored by another entity, please provide your sponsor's GIIN above and indicate your sponsor's name below*

Name of sponsoring entity ______

GIIN not available *(please tick as applicable)*

☐ Not required to apply for - please specify 2 digits sub-category ☐☐

☐ Not obtained – Non-participating FI ☐☐

PART B *(please fill any one as appropriate to be filled by NFEs other than Direct Reporting NFEs)*

1.	Is the Entity a *publicly traded company*(that[1] is, a company whose shares are regularly traded on an established securities market)	Yes ☐ No ✓ *(If yes, please specify any one stock exchange on which the stock is regularly traded)* Name of stock exchange ______
2.	Is the Entity a *related entity* of[2] a publicly traded company *(a company whose shares are regularly traded on an established securities market)*	Yes ☐ No ✓ *(If yes, please specify name of the listed company and one stock exchange on which the stock is regularly traded)* Name of listed company ______ Nature of relation: ☐ Subsidiary of the Listed Company or ☐ Controlled by a Listed Company Name of stock exchange ______
3.	Is the Entity an *active* NFE[3]	Yes ☐ No ✓ Nature of Business ______ Please specify the sub-category of Active NFE ☐☐
4.	Is the Entity a *passive* NFE[4]	Yes ☐ No ✓ Nature of Business ______

FATCA Terms and Conditions

Towards compliance with tax information sharing laws, such as FATCA, we would be required to seek additional personal, tax and beneficial owner information and certain certifications and documentation from our account holders. Such information may be sought either at the time of account opening or any time subsequently. In certain circumstances we may be obliged to share information on your account with relevant tax authorities. If you have any questions about your tax residency, please contact your tax advisor. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days. Towards compliance with such laws, we may also be required to provide information to any institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. As may be required by domestic or overseas regulators/ tax authorities, we may also be constrained to withhold and pay out any sums from your account or close or suspend your account(s).

If any controlling person of the entity is a US citizen or resident or green card holder, please include United States in the foreign country information field along with the US Tax Identification Number. Foreign Account Tax Compliance provisions (commonly known as FATCA) are contained in the US Hire Act 2010.Please note that you may receive more than one request for information if you have multiple relationships. Therefore, it is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Certification:

I have understood the information requirements of this Form (read along with the Instructions & Definitions)and hereby confirm that the information provided by us on this Form is true, correct, and complete. I also confirm that I have read and understood the FATCA Terms and Conditions above and hereby accept the same.

Name ______

Designation ______

Signature (4) Place: ______

Date: ______

KHANDWALA SECURITIES LIMITED

Date:
To,
M/s. Khandwala Securities Limited
G-II, Ground Floor, Dalamal House, Nariman Point, Mumbai 400021

Dear Sir/Madam,

Sub: TRADING PREFERENCES.

With reference to my application for opening of trading account with you, I/We ____________________

hereby giving my consent of Trading Preferences as per the below for my UCC ____________________

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, NCDEX, BSE & NSE**
All Segments	Cash/Mutual Fund	F&O	Currency	Debt	Commodity Derivatives
			Not Applicable		Not Applicable

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

(6)

TARIFF SHEET

Cash Market/ Capital Market

	TRADING			DELIVERY		
Brokerage	Min (P)	(%)	Slab No.	Min (P)	(%)	Slab No.
1st Side	5	0.05 %		5	0.50 %	
2nd Side (Same Day 2nd Side)	5	0.05 %		5	0.50 %	
Brokerage for Trade to Trade / ODD Lot / Z Group Scrips /				5	0.50 %	

F & O / Derivative Market / WDM

	EQUITY DERIVATIVES			EQUITY OPTION	
Brokerage	Min (P)	(%)	Slab No.	Per Lot	Slab No.
1st Side	5	0.05 %		Rs.100/-	
2nd Side	5	0.05 %		Rs.100/-	

NIFTY			BANK NIFTY		
Min (P)	(%)	Options	Min (P)	(%)	Options
5	0.05 %	Rs.100/-	3	0.05 %	Rs.100/-
5	0.05 %	Rs.100/-	3	0.05 %	Rs.100/-

Other Charges

Stamp Duty ☑ Yes ☐ No Service Tax ☑ Yes ☐ No
Turnover Tax ☑ Yes ☐ No STT ☑ Yes ☐ No

OTHER CHARGES

STATUTORY COST ☑ Yes ☐ No

Khandwala Securities Ltd. reserves the right to levy additional charges including the following:

Particular	**Amount**
Duplicate / Physical Contract Notes (CN) issued	Rs.25/- for 1 month period**
Duplicate Sauda Summery issued	Rs.50/- for 2 month period**
	Rs.100/- for 3 month period**
Bounced Cheque / Stop Payment of Cheque	Rs.50/- per instance / instruments**
Interest on debit balance - Standard Rate per Annum	Upto 24%

* For prevailing rates please refer back office interface

** These charges are subject to revision at the sole discretion of Khandwala Securities Ltd. and shall be informed by ordinary post/ email / quarterly account statements / SMS / Notification on the Back office interface

(7)

KHANDWALA SECURITIES LIMITED
G-II, Ground Floor, Dalamal House, Nariman Point, Mumbai 400021
Tel: 022 4076 7373, Fax: 022 4076 7377, Email Id: compliance@kslindia.com,
DP ID: 12081000 SEBI Regn No.: INZ000176837, SEBI DP Regn No.: IN-DP-55-2015
CIN No.: L67120MH1993PLC070709

ADDENDUM TO ADDTIONAL DETAILS REQURIED FOR DEMAT ACCOUNT

DP ID	1	2	0	8	1	0	0	0	Client ID									Trading code:								
Name of the First / Sole Holder																										
Name of the Second Holder																										
Name of the Third Holder																										
Reason for Closure																										

- MODE OF OPERATION for execution of transactions (Transfer ,Pledge & Freeze)

☐ Jointly	☐ Anyone of the Holder

- Consent for Communication to be received by first account holder /all Account holders :(Tick the applicable box. If not marked the default option would be first holder.

All Holder	☐ First Holder	Email:
	☐ Second Holder	Email:
	☐ Third Holder	Email:

Particulars	First / Sole Holder Signature	Second Holder Signature	Third Holder Signature
Signatures	(21)		

Acknowledgment Receipt

We hereby acknowledge the receipt of your instruction for closing the following Account subject to verification.

DP ID	1	2	0	8	1	0	0	0	Client ID									Trading code:								
Name of the First / Sole Holder																										
Name of the Second Holder																										
Name of the Third Holder																										
Reason for Closure																										

Instructions to Account Holder(s):

1. Submit a duly-filled RRF if the balances are to be rematerialized.
2. Submit a duly-filled Delivery Instruction Slip (DIS) (off market instruction slip) if the balances are to be transferred to another A/c. This requirement is not applicable in case of "Shifting of Account".

Depository Participant Seal and Signature

KHANDWALA SECURITIES LIMITED

CDSL Your Depository

☑ CDSL

Khandwala Securities Limited

SEBI DP Regn. No. IN-DP-55-2015, CDSL DP ID -12081000
G-II, Ground Floor, Dalamal House, Nariman Point, Mumbai 400021
Tel.: 91-22-4076 7373 Fax : 91-22-4076 7377
Email : compliance@kslindia.com, Website : www.kslindia.com

DP TARIFF SHEET-2025

DP Scheme	KSL DP FREE AMC		
Account Category	☐ INDIVIDUAL	☐ INDIVIDUAL (NRI)	☐ CORPORATE
Annual Maintenance Charge	Free	Free	INR 999/-
Debit Instruction from the account	0.05% of the value of the transaction (Min. INR 25/-)	0.05% of the value of the transaction (Min. INR 25/-)	0.05% of the value of the transaction (Min. INR 25/-)
Demat			
Dematerialisation	INR 15/- per certificate or Min. 150/- per DRF request	INR 15/- per certificate or Min. 150/- per DRF request	INR 15/- per certificate or Min. 150/- per DRF request
Rematerialisation	INR 50/- per certificate Or INR 150/- per 100 securities	INR 50/- per certificate Or INR 150/- per 100 securities	INR 50/- per certificate Or INR 150/- per 100 securities
Pledge			
Creation/closure /Invocation	INR 50/- or 0.03% whichever is higher	INR 50/- or 0.03% whichever is higher	INR 50/- or 0.03% whichever is higher
Defreeze	INR 25/-		
DIS Book issue	INR 100/-		
SLBM	INR 100/- or 0.02% whichever is highest		

Notes

1. For availing 'Easiest' facility of CDSL, the charges as levied by CDSL would be collected from clients at actual.
2. GST, education cess and other statutory levies (if any) would be charged extra wherever applicable as per the prevailing rates.
3. We reserve the rights to change / add charges with 30 days prior notice.
4. All payments should be in favour of "Khandwala Securities Limited."

I/We have read the understood the " Schedule of Charges" prescribed above and agree to abide by the same.

(18)

Signature of First Holder | Signature of Second Holder | Signature of Third Holder

Date : ☐☐☐☐☐☐☐☐

KHANDWALA SECURITIES LIMITED

Declaration for Common Mobile Number and EMAIL ID in a Family Account.

To,
Khandwala Securities Limited
G-II, Ground Floor,
Dalamal House, Nariman Point,
Mumbai 400021

Date: _ _ _ _ _ _ _ _

Dear Sirs,

Re: Opening of Trading and Demat Account.

With reference to my /our application for opening of a Trading and Demat account with you, I / We hereby declare that I / We want all the SMS and E-Mail alerts on the following Email ID and Mobile No. which are mentioned below respectively as per SEBI Circular No. CIR/MIRSD/15/2011 dated August 02, 2011.

- ☐ Email ID: ____________________
- ☐ Mobile No: _ _ _ _ _ _ _ _ _ _

Further, I / We confirm that the above details which have been provided by us belong to our Family Member whose details have been provided by us as under:

- ☐ Name of the family Member:. ____________________
- ☐ Relationship with the Client:. ____________________
- ☐ Trading account with **Khandwala Securities Limited** (if Any):. ____________________

I / We also confirm that this request has been given to the Stock Broker under exceptional circumstances as I / We am / are dependent on our family member whose details have been mentioned in this declaration (above) and I / We further confirm that I / We don't have any objection to this and I / We give full consent in this regard .

Further, 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.

Thanking You,

Yours Faithfully,

Client Name:____________________

(18)

Signature

KHANDWALA SECURITIES LIMITED

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.

Client Signature