

Form No.



Trust. Invest. Progress

Client Registration Form

Individual/Corporate

CKYC No. :

Unique Client Code :

Client ID :

Client Name :

Address :

Address :

Telephone : Mobile :

E-Mail :

PAN :

Branch Name :

Employee Name : Code :

AP / Remiser Name (If any) : Code :

Online software for trading Yes No



Peerless Securities Ltd.

Trust. Invest. Progress

GENERAL INSTRUCTIONS TO THE CLIENTS

(Issued in the interest of the clients)

1. Please read the entire form first. This is important for you and for us.
2. Please fill up and sign the 'Know Your Customer' form (KYC) yourself. ★
3. Do not fill up the form in hurry or under compulsion.
4. Please read all the **mandatory** and **optional** documents carefully. In case you need any clarification on the contents thereof, please get in touch with our Branch or with us at Head Office.
5. It is suggested that you keep a photocopy of the document, before handing it over to our branch.
6. Please keep yourself abreast with the rules, regulations, instructions etc. issued by SEBI and the Exchanges as far as possible, especially the Do's & Don'ts issued by the Exchanges from time to time.
7. In case you are dealing through Sub-Broker / Authorised Person, please ensure that they are registered with SEBI / Exchange.
8. Please do not hand over signed, blank DIS (Delivery Instruction Slips) to anybody including employees of Peerless Securities Ltd. (PSL) to avoid unauthorized use of the documents. Please note that we shall not be responsible for any such act on your part.
9. Any changes in the information provided in this KYC need to be brought to the notice of Peerless Securities Limited (PSL) immediately with necessary supporting documents.
10. Please make a note of the Unique Client Code (UCC) and quote the same correctly every time you place an order with the dealer. Otherwise we shall not be liable for non-execution.
11. Please give instructions to the dealer in as clear and unambiguous term as possible to avoid any problem of miscommunication. Kindly note you cannot hold either PSL or its officials responsible for any unclear instructions given by you. Your instructions have to be given solely based on your judgement, risk and responsibility. No employee of PSL is authorized to provide you counsel for your transactions.
12. Please make the payments for margins, pay-in within time specified. Make the payments from the same bank account as mentioned in the KYC by way of account payee cheques in favour of PSL only. Do not make cash payments as PSL do not accept cash, and no employee of PSL is so authorized.
13. Please meet your delivery obligations only from the demat account mentioned in the KYC, as the shares received from third parties would be rejected. The delivery instruction slips should be completed in all respects and submitted duly signed.
14. Any discrepancies in the contract note and account statements should be brought to the notice of the customer grievance cell at HO or sent an email to our investor grievance email id : **pslrelations@peerlesssec.co.in** immediately.
15. Other than the documents asked for by way of the set of forms, PSL has the right to call for further documents stipulated by the Exchanges, Regulators, Govt. agencies and PSL themselves.
16. No employee of PSL including the Branch Manager is authorized to trade on your behalf or apply discretion in buying / selling of scrips. They are only authorized to execute client's instructions.
17. Please submit separate CKYC, KYC & FATCA Forms for third holder, if any.
18. Submit "FATCA - CRS Declaration - Entities" Form in case of non-individual accounts separately.
19. Please fill up and sign the nomination details in your demat account as per Form 10 at Page no. 25-26.
- ★ Sign positions marked with "✓" & "number". "I" stands for Individual and "C" stands for Corporate.

EXCHANGE ADDRESS

National Stock Exchange Of India Ltd.

Regd. Office : Exchange Plaza, Plot No. C/1, G Block
Bandra-Kurla Complex, Bandra (E), Mumbai - 400 051
Phone : (022) 2659-8100 to 8114, Fax : (022) 2659-8120

Regional Office : 1st Floor, Park View Apartments
99, Rash Behari Avenue, Kolkata - 700 029
Phone : (033) 4040-0400, 2419-5400, Fax : (033) 4040-0440, 2463-1791

BSE Limited

Regd. Office : Phiroze Jeejeebhoy Towers, Dalal Street, Mumbai - 400 001
Phone : (022) 2272-1233/1234, 6654-5695 (Hunting)
Fax : (022) 2272-1919, E.mail : is@bseindia.com

Regional Office : 22, Camac Street
Unit No.A-1, 1st Floor, Block A, Kolkata - 700 016

Multi Commodity Exchange Of India Ltd. (MCX)

Regd. Office : Exchange Square, Suren Road, Chakala
Andheri East, Mumbai - 400 093, India
Phone : (022) 6731-8888, 6649-4000, Fax : (022)6649-4151
Email : info@mcxindia.com

Regional Office : 4th Floor, 55 & 55/1, Chowringhee Court Building
Chowringhee Road, Kolkata - 700 001, West Bengal

Securities and Exchange Board of India

Regd. Office : Plot No. C4-A, 'G' Block Bandra Kurla Complex
Bandra (East), Mumbai - 400 051
Phone : (022) 2644-9000, 4045-9000
Fax : (022) 2644-9019 to 9022, 4045-9019 to 9022, E-mail : sebi@sebi.gov.in
Interactive Voice Response System (IVRS) : Phone : (022) 2644-9950, 4045-9950

Regional Office : L&T Chambers, 3rd Floor, 16, Camac Street, Kolkata - 700 017
Phone : (033) 2302-3000, Fax : (033) 2287-4307, Email : sebiro@sebi.gov.in

ACCOUNT OPENING KIT - TRADING & DEMAT

Name of Stock Broker / Trading Member / Clearing Member :
PEERLESS SECURITIES LTD.

SEBI Regn. Nos. and Date : - INZ000263738 Dt.30.05.2019
- NSDL - IN-DP-NSDL-96-99, DP ID : IN300958

Registered & Correspondence Office address :

1, Chowringhee Square, 2nd Floor, Kolkata - 700 069
Phone : (033) 4050-2700, 2243-5942, Fax : 2243-6941
E.mail : pslrelations@peerlesssec.co.in, Website : www.peerlesssec.co.in
CIN : U67120WB1995PLC067616

Name of Clearing Member For NSE-F&O, NSE-CD and MCX Segments :
GLOBE CAPITAL MARKET LIMITED

SEBI Regn. No. and Date : INZ000177137 dt.14.05.2018

Registered & Correspondence Office address :

609, Ansal Bhawan, 16, Kasturba Gandhi Marg
Connaught Place, New Delhi - 110 001
Phone : 3041-2345, Fax : (011) 2372-0883
E.mail : mail@globecapital.com, Website : www.globecapital.com

Compliance Officer Name, Phone No. & email ID :

Mr. Raj Kumar Mukherjee, 4050-2700
Fax : 2243-6941, compliance@peerlesssec.com

WTD Name, Phone No. & email ID :

Mr. Atul Kumar Bajpai, 4050-2700, 6450-2002
Fax : 2243-6941, md@peerlesssec.com

For any grievance/dispute, please contact **PEERLESS SECURITIES LTD.** at the above address or email id : pslrelations@peerlesssec.co.in and Phone : (033) 4050-2700, 6450-2002, 2243-5942, Fax : 2243-6941. In case not satisfied with the response, please contact the concerned exchange(s) at ignse@nse.co.in and Phone No. (022) 2659-8190 for NSE and at is@bseindia.com, Phone No. (022) 2272-8097 for BSE.

TRADING & DEMAT ACCOUNT CHECKLIST (INDIVIDUAL / NRI)

Required Validation	ID Details		Address Details		Bank Details	
	Name	Photo	Correspondence Address	Permanent Address	Bank Name & A/c No.	MICR / IFSC Code
PAN Card	✓	✓				
Passport *	✓	✓	✓	✓		
Driving Licence *	✓	✓	✓	✓		
Voter ID	✓	✓	✓	✓		
UID (Aadhaar)	✓	✓	✓	✓		
Telephone Bill ** (Mobile bill not accepted)			✓	✓		
Electricity Bill **			✓	✓		
Bank Statement **			✓	✓	✓	
Cancelled Cheque (With Client name & A/c No. Printed)					✓	✓
Bank Verification Letter (Original)	✓	✓	✓	✓	✓	✓

Abbreviations :

- 1) * The Proof should be valid on the DATE of agreement.
- 2) ** The Proof should not be more than 3 months old.
- 3) # Bank Statement should be original and of latest quarter. It should have Bank Manager's Stamp & Sign, if original stationery is not available.
- 4) ## Bank Passbook should have Bank Manager's Stamp & Sign if it is hand written.

PROOF OF FINANCIAL DETAILS, any one (for clients who wish to trade in F&O)		
✓ Copy of Income Tax Return	✓ Copy of Annual Accounts	✓ Copy of Form 16 (Salary Certificate)
✓ Networth Certificate	✓ Demat Holding Statement	✓ Bank Statements for last 6 months
PROOF FOR EXISTING DEMAT ACCOUNT HOLDERS		
✓ DP Statement	✓ Client Master Report (CMR)	
1. Clients name & DP A/c No. on the proof of DP should match with that mentioned in the account opening form.		
2. DP statement should clearly show DP ID & Client ID.		
3. For E-Broking clients, Demat A/c should be opened with MODES only with POA.		
PROOFS FOR NRI (NON RESIDENT INDIAN)		
1. PAN card		
2. Valid Passport / PIO Card / OCI Card as proof of Identity. Proof of Foreign Address and Indian Address (If any)		
3. Bank A/c should be either Repatriable Bank A/c for NRE OR Non-Repatriable A/c for NRO Status.		
4. Proof of Demat Account should be only with NRI status.		
5. Permission for dealing in securities from Authorized Dealer (Bank) / RBI.		

WATCH OUTS / LAST MINUTE REVISION

1. The A/c opening form is filled properly in **BLACK INK and BLOCK LETTERS ONLY** and do have:
 - a. Clients Name and Signature at appropriate places marked in Grey color.
 - b. Address - as it appears on the address proof. In case permanent & Correspondence addresses are different, make sure to provide address proof for both of them.
 - c. Witness signature at appropriate places marked in Light Grey colour.
 - d. N. A. mentioned at all places not applicable to the client.
2. White ink is not allowed either on form or on agreement. All corrections to be countersigned with full signature.
3. All proofs, photographs and signature on the form should be clearly visible and should be self attested by client.
4. In Person Verification, PAN & Document verification from original has to be done by SEBI registered Sub-broker / Authorised Person only.
5. In case of DP in joint names, all the proofs - PAN card and address proof - should be provided for the 2nd & 3rd Holder also.

CHECKLIST TABLE FOR ACCOUNT OPENING

Important Note : * Requirements are as per NSDL, NDML and SEBI guidelines

If PROOF TYPE is submitted as below, then it should fulfill the mentioned criteria's					
PROOF TYPE	REQUIREMENTS*	ID PROOF	ADDRESS PROOF	BANK PROOF	SIGNATURE PROOF
PAN Card	<ul style="list-style-type: none"> • Coloured Photocopy preferred 	<ul style="list-style-type: none"> • Name, Photograph, Date of Birth should match • Signature should be clearly visible 	NA	NA	<ul style="list-style-type: none"> • Signature should be clearly visible and should match
Passport	<ul style="list-style-type: none"> • Photocopy of Name and Address page (2 pages) Valid for atleast next • TWO months from the date of Account Activation# 	<ul style="list-style-type: none"> • Name, Photograph, Date of Birth should match • Signature should be clearly visible 	<ul style="list-style-type: none"> • Address mentioned in passport should match with the address mentioned in KYC 	NA	<ul style="list-style-type: none"> • Signature should be clearly visible and should match
Driving Licence	<ul style="list-style-type: none"> • Photocopy of Name and Address page (2 pages) Valid for atleast next • TWO months from the date of Account Activation# • Learning License is Not Acceptable 	<ul style="list-style-type: none"> • Name, Photograph, Date of Birth should match • Signature should be clearly visible 	<ul style="list-style-type: none"> • Address mentioned in Driving Licence should match with the address mentioned in KYC 	NA	<ul style="list-style-type: none"> • Signature should be clearly visible and should match
Voter ID	<ul style="list-style-type: none"> • Photocopy of Name and Address page (2 pages) • Coloured Photocopy preferred 	<ul style="list-style-type: none"> • Name, Photograph should match 	<ul style="list-style-type: none"> • Address mentioned in Voter ID should match with the address mentioned in KYC 	NA	NA
Aadhaar	<ul style="list-style-type: none"> • Coloured Photocopy preferred of Aadhaar • Card (front and reverse) 	<ul style="list-style-type: none"> • Name, Photograph should match 	<ul style="list-style-type: none"> • Address mentioned in Aadhaar should match with the address mentioned in KYC 	NA	NA
Telephone Bills/ Electricity Bill	<ul style="list-style-type: none"> • The Proof should not be more than 3 months old 	NA	<ul style="list-style-type: none"> • Address mentioned in bill should match with the address mentioned in KYC 	NA	NA
Bank Statement	<ul style="list-style-type: none"> • Original / copy of Bank Statement • Latest quarter (3 months transactions). • Bank Attestation is Mandatory where the Bank statement does not contain pre-printed Bank logo, address and other relevant details about the Bank. (Bank Attestation should contain Authorized signatory of Bank with Name and Employee Code and Bank seal) 	NA	<ul style="list-style-type: none"> • Address mentioned in bank statement should match with the address mentioned in KYC 	<ul style="list-style-type: none"> • The below should match with the details mentioned in KYC <ul style="list-style-type: none"> • Account holder Name • Bank Account No • Bank Account Type [Savings/Current] 	NA

PROOF TYPE	REQUIREMENTS*	ID PROOF	ADDRESS PROOF	BANK PROOF	SIGNATURE PROOF
Bank Passbook	<ul style="list-style-type: none"> Bank Passbook containing Bank Details Client Details Latest quarter (3 months transactions) pages. Bank Attestation is Mandatory where the Bank statement does not contain pre-printed Bank logo*, address and other relevant details about the Bank. (Bank Attestation should contain Authorized signatory of Bank with Name and Employee Code and Bank seal) 	NA	<ul style="list-style-type: none"> Address mentioned in bank pass book should match with the address mentioned in KYC 	<ul style="list-style-type: none"> The below should match with the details mentioned in KYC Account holder Name Bank Account No. Bank Account Type [Savings/Current] MICR / IFSC 	NA
Cancelled Cheque	<ul style="list-style-type: none"> Original Cancelled Cheque leaf 			<p>The cancelled cheque should have:</p> <ul style="list-style-type: none"> Pre printed Client Name Pre printed Account No IFSC MICR 	NA
Bank Verification Letter	<ul style="list-style-type: none"> Bank's original Letter head Bank Attestation should contain Authorized signatory of Bank with Name and Employee Code and Bank seal Client Name, Account Number, Address, Signature, Account Type, IFSC, MICR (format available in WIRE>download option 	<ul style="list-style-type: none"> Client's latest photo should be attested by Bank Client Name & Address Bank A/c no 	<ul style="list-style-type: none"> Client's latest photo should be attested by Bank Client Name BankA/c no. Address IFSC MICR Account Type (Savings/Current) 	<ul style="list-style-type: none"> Client's latest photo should be attested by Bank Client Name BankA/c no. Address IFSC MICR Account Type (Savings/Current) Client Signature 	

To avoid Objection and Delays

- Ensure the details mentioned in the proof submitted matches with the form filled up by you as per the Checklist table mentioned.
- All proofs, photographs and signature on the form should be clearly visible and should be self attested by client.
- Colored photocopies are preferred.
- Proofs submitted should be compulsory in A4 size.
- Signature and Date of birth should match with atleast one submitted document proof.
- The A/c opening form should be filled in BLACK INK and CAPITAL LETTERS ONLY and do have :
 - Clients Name and Signature at appropriate places marked in Grey color.
 - Address - as it appears on the address proof. In case permanent & correspondence addresses are different, make sure to provide address proof for both of them.
- Witness signature at appropriate places marked in light grey color.
- N. A. mentioned at all places not applicable to the client.
- White ink is not allowed either on form or on agreement. All corrections needs to be countersigned with full signature.
- In person Verification, PAN & Document verification from original has to be done by SEBI registered Sub-broker/Authorised Person only.
- In case of DP in joint names, all the proofs-PAN card and address proof - should be provided for the 2nd & 3rd Holder also.
- Check clarity of the Documents Scanned.
- Affix proper stamp.
- Fill up form in clear handwriting.
- Fill up complete form and mark N.A. where not applicable.

PEERLESS SECURITIES LTD.

INDEX OF DOCUMENTS		
S.NO.	NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE	PAGE NOS.
MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES		
1.	<p>Account Opening Form</p> <p>A. KYC form - Document captures the basic information about the constituent and an instruction/check list.</p> <p>B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.</p>	<p>1 - 14</p> <p>15 - 19</p>
2.	<p>Tariff sheet</p> <p>Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).</p>	20
3.	<p>Additional KYC Form for Opening a Demat Account (For Individuals)</p> <p>Document captures the additional information about the constituent relevant to demat account with nomination details</p>	21 - 25
4.	<p>Declaration in case of same mobile number and / or e.mail ID for different clients</p>	26
5.	<p>Additional KYC Form for Opening a Demat Account (For Non-Individuals)</p> <p>Document captures the additional information about the constituent relevant to demat account</p>	27 - 29
6.	<p>Option for issuance of DIS Booklet alongwith Account opening</p>	30
7.	<p>Schedule of Charges for Beneficiary Account</p> <p>The charges payable by the client for availing DP Services</p>	31
8.	<p>Policies and Procedures</p> <p>Document describing significant policies and procedures of the stock broker.</p>	32 - 34
<p>Notes : Standard Mandatory Documents viz. Rights & Obligations of Stock Broker, Sub-broker and Client for trading on exchanges, Uniform Risk Disclosure Documents, and Guidance Note detailing Do's and Don'ts for trading, are available in physical/electronic mode as per your choice marked in on Page 16.</p> <p>Choice for physical/electronic mode for Rights and Obligations of BO and DP, as prescribed by SEBI and Depositories can be marked on Page 22 in case of Individuals and on Page 28 in case of Non-Individuals.</p>		
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER		
9.	<p>Authority Letter for Running Account</p> <p>The document deals with an option given to client to settle his obligations towards funds and securities on a running basis & settle the same at monthly/quarterly interval at his discretion.</p>	35
10.	<p>Mandate to issue documents in Electronic format</p> <p>The documents deals with the clauses relating to issue of Contract Notes, daily margin statement, quarterly statement in electronic format.</p>	36

INDEX OF DOCUMENTS		
S.NO.	NAME OF THE DOCUMENT AND ITS BRIEF SIGNIFICANCE	PAGE NOS.
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER		
11	Electronic Contract Note [ECN] – Declaration Mandate to receive Contract Notes via E.mail	37
12.	Undertaking with regards to Position Limits in Commodity Forward Contract Undertaking for adherence to Position Limits specified by Exchanges / Regulatory Authorities	38
13.	CLIENT COMMODITYWISE CATEGORISATION Mandatory - only for Commodity Clients	39
14.	NSE - MFSS Facility The documents deals with an option to trade in Mutual Funds.	40 - 41
15.	BSE - MF Facility The documents deals with an option to trade in Mutual Funds.	42
16.	Authority Letter & Declaration by client The document deals with some voluntary declaration given by the client & also authorises the member for operational convenience.	43
17.	Additional Mandatory Clauses	44
18.	Electronic Pay Out Request	45
19.	Consent Letter for Mobile Alerts, Trading / Research Calls, News etc.	46
20.	Consent Letter for E.mail and Mobile Alert Facility As required under various Circulars of SEBI and Exchange(s)	47
21.	Authority Letter in favour of an Authorised Representative	48
22.	Declaration by client in relation to PMLA, 2002 The document deals with other additional voluntary information to be provided by the client in relation to prevention of Money Laundering Act, 2002.	49
OTHERS		
23.	Additional KYC Information & FATCA-CRS Declaration - Individuals	50 - 51
24.	ANTI MONEY LAUNDERING/COMBATING FINANCING OF TERRORISM - LITERATURE The document gives an overview of what is Money Laundering, its objectives, its effects on economy and society, and local regulations to fight money laundering.	52 - 54

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



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Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.

- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes may be obtained from our office.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.



For office use only

Application Type* New Update

(To be filled by financial institution) KYC Number (Mandatory for KYC update request)

Account Type* Normal Simplified (for low risk customers) Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (if any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

PHOTO

✓ Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

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

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

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

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others please specify
 Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

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

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

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

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

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

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Prefix First Name Middle Name Last Name

Name*

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

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

A- Passport Number Passport Expiry Date --

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date --

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

IPV & KYC VERIFICATION CARRIED OUT BY

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **PEERLESS SECURITIES LIMITED**

Code **IN0215**

[Institution Stamp]

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual



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Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.

- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes may be obtained from our office.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

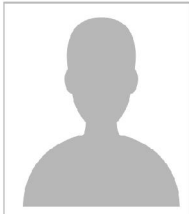


For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)
 Account Type* Normal Simplified (for low risk customers) Small

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

	Prefix	First Name	Middle Name	Last Name
<input type="checkbox"/> Name* (Same as ID proof)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Maiden Name (if any*)	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Father / Spouse Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mother Name*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Date of Birth*	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender*	<input type="checkbox"/> M- Male	<input type="checkbox"/> F- Female	<input type="checkbox"/> T-Transgender	
Marital Status*	<input type="checkbox"/> Married	<input type="checkbox"/> Unmarried	<input type="checkbox"/> Others	
Citizenship*	<input type="checkbox"/> IN- Indian	<input type="checkbox"/> Others (ISO 3166 Country Code <input type="text"/>)		
Residential Status*	<input type="checkbox"/> Resident Individual	<input type="checkbox"/> Non Resident Indian		
	<input type="checkbox"/> Foreign National	<input type="checkbox"/> Person of Indian Origin		
Occupation Type*	<input type="checkbox"/> S-Service (<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector) <input type="checkbox"/> O-Others (<input type="checkbox"/> Professional <input type="checkbox"/> Self Employed <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student) <input type="checkbox"/> B-Business <input type="checkbox"/> X- Not Categorised			

PHOTO



✓ Signature / Thumb Impression

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

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

ISO 3166 Country Code of Jurisdiction of Residence*

Tax Identification Number or equivalent (If issued by jurisdiction)*

Place / City of Birth* ISO 3166 Country Code of Birth*

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

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

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

4. PROOF OF ADDRESS (PoA)*

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

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

Address Type* Residential / Business Residential Business Registered Office Unspecified

Proof of Address* Passport Driving Licence UID (Aadhaar)
 Voter Identity Card NREGA Job Card Others please specify
 Simplified Measures Account - Document Type code

Address

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

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

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

Line 1*

Line 2

Line 3 City / Town / Village*

District* Pin / Post Code* State / U.T Code* ISO 3166 Country Code*

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

Same as Current / Permanent / Overseas Address details Same as Correspondence / Local Address details

Line 1*

Line 2

Line 3 City / Town / Village*

State* ZIP / Post Code* ISO 3166 Country Code*

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

Tel. (Off) - Tel. (Res) - Mobile -

FAX - Email ID

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

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Prefix First Name Middle Name Last Name

Name*

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

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

A- Passport Number Passport Expiry Date --

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date --

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

7. REMARKS (If any)

8. APPLICANT DECLARATION

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

Date : -- Place :

[Signature / Thumb Impression]

Signature / Thumb Impression of Applicant

9. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

IPV & KYC VERIFICATION CARRIED OUT BY

Date --

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name **PEERLESS SECURITIES LIMITED**

Code **IN0215**

[Institution Stamp]

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

General Instructions:

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

A Clarification / Guidelines on filling 'Personal Details' section

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

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

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

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

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

Document Code	Description
---------------	-------------

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

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

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

Document Code	Description
---------------	-------------

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

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

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

F Clarification / Guidelines on filling 'Contact details' section

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

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

- 1 Provide KYC number of related person if available.

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

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

List of two – digit state / U.T codes as per Indian Motor Vehicle Act, 1988

State / U.T	Code	State / U.T	Code	State / U.T	Code
Andaman & Nicobar	AN	Himachal Pradesh	HP	Pondicherry	PY
Andhra Pradesh	AP	Jammu & Kashmir	JK	Punjab	PB
Arunachal Pradesh	AR	Jharkhand	JH	Rajasthan	RJ
Assam	AS	Karnataka	KA	Sikkim	SK
Bihar	BR	Kerala	KL	Tamil Nadu	TN
Chandigarh	CH	Lakshadweep	LD	Telangana	TS
Chattisgarh	CG	Madhya Pradesh	MP	Tripura	TR
Dadra and Nagar Haveli	DN	Maharashtra	MH	Uttar Pradesh	UP
Daman & Diu	DD	Manipur	MN	Uttarakhand	UA
Delhi	DL	Meghalaya	ML	West Bengal	WB
Goa	GA	Mizoram	MZ	Other	XX
Gujarat	GJ	Nagaland	NL		
Haryana	HR	Orissa	OR		

List of ISO 3166 two- digit Country Code

Country	Country Code	Country	Country Code	Country	Country Code	Country	Country Code
Afghanistan	AF	Dominican Republic	DO	Libya	LY	Saint Pierre and Miquelon	PM
Aland Islands	AX	Ecuador	EC	Liechtenstein	LI	Saint Vincent and the Grenadines	VC
Albania	AL	Egypt	EG	Lithuania	LT	Samoa	WS
Algeria	DZ	El Salvador	SV	Luxembourg	LU	San Marino	SM
American Samoa	AS	Equatorial Guinea	GQ	Macao	MO	Sao Tome and Principe	ST
Andorra	AD	Eritrea	ER	Macedonia, the former Yugoslav Republic of	MK	Saudi Arabia	SA
Angola	AO	Estonia	EE	Madagascar	MG	Senegal	SN
Anguilla	AI	Ethiopia	ET	Malawi	MW	Serbia	RS
Antarctica	AQ	Falkland Islands (Malvinas)	FK	Malaysia	MY	Seychelles	SC
Antigua and Barbuda	AG	Faroe Islands	FO	Maldives	MV	Sierra Leone	SL
Argentina	AR	Fiji	FJ	Mali	ML	Singapore	SG
Armenia	AM	Finland	FI	Malta	MT	Sint Maarten (Dutch part)	SX
Aruba	AW	France	FR	Marshall Islands	MH	Slovakia	SK
Australia	AU	French Guiana	GF	Martinique	MQ	Slovenia	SI
Austria	AT	French Polynesia	PF	Mauritania	MR	Solomon Islands	SB
Azerbaijan	AZ	French Southern Territories	TF	Mauritius	MU	Somalia	SO
Bahamas	BS	Gabon	GA	Mayotte	YT	South Africa	ZA
Bahrain	BH	Gambia	GM	Mexico	MX	South Georgia and the South Sandwich Islands	GS
Bangladesh	BD	Georgia	GE	Micronesia, Federated States of	FM	South Sudan	SS
Barbados	BB	Germany	DE	Moldova, Republic of	MD	Spain	ES
Belarus	BY	Ghana	GH	Monaco	MC	Sri Lanka	LK
Belgium	BE	Gibraltar	GI	Mongolia	MN	Sudan	SD
Belize	BZ	Greece	GR	Montenegro	ME	Suriname	SR
Benin	BJ	Greenland	GL	Montserrat	MS	Svalbard and Jan Mayen	SJ
Bermuda	BM	Grenada	GD	Morocco	MA	Swaziland	SZ
Bhutan	BT	Guadeloupe	GP	Mozambique	MZ	Sweden	SE
Bolivia, Plurinational State of	BO	Guam	GU	Myanmar	MM	Switzerland	CH
Bonaire, Sint Eustatius and Saba	BQ	Guatemala	GT	Namibia	NA	Syrian Arab Republic	SY
Bosnia and Herzegovina	BA	Guernsey	GG	Nauru	NR	Taiwan, Province of China	TW
Botswana	BW	Guinea	GN	Nepal	NP	Tajikistan	TJ
Bouvet Island	BV	Guinea-Bissau	GW	Netherlands	NL	Tanzania, United Republic of	TZ
Brazil	BR	Guyana	GY	New Caledonia	NC	Thailand	TH
British Indian Ocean Territory	IO	Haiti	HT	New Zealand	NZ	Timor-Leste	TL
Brunei Darussalam	BN	Heard Island and McDonald Islands	HM	Nicaragua	NI	Togo	TG
Bulgaria	BG	Holy See (Vatican City State)	VA	Niger	NE	Tokelau	TK
Burkina Faso	BF	Honduras	HN	Nigeria	NG	Tonga	TO
Burundi	BI	Hong Kong	HK	Niue	NU	Trinidad and Tobago	TT
Cabo Verde	CV	Hungary	HU	Norfolk Island	NF	Tunisia	TN
Cambodia	KH	Iceland	IS	Northern Mariana Islands	MP	Turkey	TR
Cameroon	CM	India	IN	Norway	NO	Turkmenistan	TM
Canada	CA	Indonesia	ID	Oman	OM	Turks and Caicos Islands	TC
Cayman Islands	KY	Iran, Islamic Republic of	IR	Pakistan	PK	Tuvalu	TV
Central African Republic	CF	Iraq	IQ	Palau	PW	Uganda	UG
Chad	TD	Ireland	IE	Palestine, State of	PS	Ukraine	UA
Chile	CL	Isle of Man	IM	Panama	PA	United Arab Emirates	AE
China	CN	Israel	IL	Papua New Guinea	PG	United Kingdom	GB
Christmas Island	CX	Italy	IT	Paraguay	PY	United States	US
Cocos (Keeling) Islands	CC	Jamaica	JM	Peru	PE	United States Minor Outlying Islands	UM
Colombia	CO	Japan	JP	Philippines	PH	Uruguay	UY
Comoros	KM	Jersey	JE	Pitcairn	PN	Uzbekistan	UZ
Congo	CG	Jordan	JO	Poland	PL	Vanuatu	VU
Congo, the Democratic Republic of the	CD	Kazakhstan	KZ	Portugal	PT	Venezuela, Bolivarian Republic of	VE
Cook Islands	CK	Kenya	KE	Puerto Rico	PR	Viet Nam	VN
Costa Rica	CR	Kiribati	KI	Qatar	QA	Virgin Islands, British	VG
Cote d'Ivoire Côte d'Ivoire	CI	Korea, Democratic People's Republic of	KP	Reunion Réunion	RE	Virgin Islands, U.S.	VI
Croatia	HR	Korea, Republic of	KR	Romania	RO	Wallis and Futuna	WF
Cuba	CU	Kuwait	KW	Russian Federation	RU	Western Sahara	EH
Curacao Curaçao	CW	Kyrgyzstan	KG	Rwanda	RW	Yemen	YE
Cyprus	CY	Lao People's Democratic Republic	LA	Saint Barthelemy Saint Barthélemy	BL	Zambia	ZM
Czech Republic	CZ	Latvia	LV	Saint Helena, Ascension and Tristan da Cunha	SH	Zimbabwe	ZW
Denmark	DK	Lebanon	LB	Saint Kitts and Nevis	KN		
Djibouti	DJ	Lesotho	LS	Saint Lucia	LC		
Dominica	DM	Liberia	LR	Saint Martin (French part)	MF		

Annexure A1

CENTRAL KYC REGISTRY | Know Your Customer (KYC) Application Form | Individual | Correspondence / Local Address



Trust. Invest. Progress

Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.

- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes may be obtained from our office.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

1. CORRESPONDENCE / LOCAL ADDRESS DETAILS (Please see instruction E at the end)

Same as Current / Permanent / Overseas Address details

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

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

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

3. APPLICANT DECLARATION

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

Date : - -

Place :

[Signature / Thumb Impression]
 Signature / Thumb Impression of Applicant

Annexure B1

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



Important Instructions:

- A) Fields marked with "*" are mandatory fields.
- B) Please fill the form in English and in BLOCK letters.
- C) Please fill the date in DD-MM-YYYY format.

- D) Please read section wise detailed guidelines / instructions at the end.
- E) List of State / U.T. code as per Indian Motor Vehicle Act, 1988 is available at the end.
- F) List of two character ISO 3166 country codes may be obtained from our office.
- G) KYC number of applicant is mandatory for update application.
- H) For particular section update, please tick (✓) in the box available before the section number and strike off the sections not required to be updated.

For office use only Application Type* New Update
 (To be filled by financial institution) KYC Number (Mandatory for KYC update request)

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

Addition of Related Person Deletion of Related Person KYC Number of Related Person (if available*)

Related Person Type* Guardian of Minor Assignee Authorized Representative

Name* Prefix First Name Middle Name Last Name

(If KYC number and name are provided, below details of section 1 are optional)

Signature / thumb Impression of Applicant

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

A- Passport Number Passport Expiry Date DD - MM - YYYY

B- Voter ID Card

C- PAN Card

D- Driving Licence Driving Licence Expiry Date DD - MM - YYYY

E- UID (Aadhaar)

F- NREGA Job Card

Z- Others (any document notified by the central government) Identification Number

S- Simplified Measures Account - Document Type code Identification Number

2. APPLICANT DECLARATION

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

✓ [Signature / Thumb Impression]

Date : DD - MM - YYYY Place :

Signature / Thumb Impression of Applicant

3. ATTESTATION / FOR OFFICE USE ONLY

Documents Received Certified Copies

KYC VERIFICATION CARRIED OUT BY

Date DD - MM - YYYY

Emp. Name

Emp. Code

Emp. Designation

Emp. Branch

[Employee Signature]

INSTITUTION DETAILS

Name

Code

[Institution Stamp]

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)



PEERLESS SECURITIES LIMITED

PHOTOGRAPH

Please affix your recent passport size photograph.

Signature across photograph.

Please fill this form in **ENGLISH** and in **BLOCK LETTERS**

IDENTITY DETAILS													
Name of the Applicant													
Father's / Husband's Name													
Gender		<input type="checkbox"/> Male <input type="checkbox"/> Female		Marital Status		<input type="checkbox"/> Single <input type="checkbox"/> Married							
Date of Birth (dd/mm/yyyy)						PAN							
Nationality		<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify _____)											
Status		<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National											
Aadhaar Number, if any													
Specify the proof of Identity submitted				<input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify _____)									
ADDRESS DETAILS													
Residence /													
Correspondence Address													
City/town/village						Pin Code							
State						Country							
Specify the proof of address submitted for Residence / correspondence address													
Contact Details													
Tel. (Off.)						Tel. (Res.)						Fax No.	
Mobile No.						Email id							
Permanent Address*													
City/town/village						Pin Code							
State						Country							

*(if different from above. Mandatory for (Non-Resident Applicant to specify overseas address.)

DECLARATION

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

✓ **(L-1)**

Signature of the Applicant _____

Date : _____ **(dd/mm/yyyy)**

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

In-Person-Verification (IPV) details:

- a) Name of the person doing IPV _____
- b) Designation _____ c) Name of Organization : **Peerless Securities Limited**
- d) Signature _____ e) Date _____

Name & Signature of the Authorised Signatory _____

Date : _____

Seal/Stamp of the intermediary

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Individuals)



PEERLESS SECURITIES LIMITED

PHOTOGRAPH

Please affix your recent passport size photograph.

Signature across photograph.

Please fill this form in ENGLISH and in BLOCK LETTERS

IDENTITY DETAILS											
Name of the Applicant											
Father's / Husband's Name											
Gender				<input type="checkbox"/> Male <input type="checkbox"/> Female				Marital Status		<input type="checkbox"/> Single <input type="checkbox"/> Married	
Date of Birth (dd/mm/yyyy)				/		/		PAN			
Nationality				<input type="checkbox"/> Indian <input type="checkbox"/> Other (Please specify _____)							
Status				<input type="checkbox"/> Resident Individual <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National							
Aadhaar Number, if any											
Specify the proof of Identity submitted				<input type="checkbox"/> PAN Card <input type="checkbox"/> Any other (Please specify _____)							
ADDRESS DETAILS											
Residence / Correspondence Address											
City/town/village						Pin Code					
State						Country					
Specify the proof of address submitted for Residence / correspondence address											
Contact Details											
Tel. (Off.)			Tel. (Res.)			Fax No.					
Mobile No.			Email id								
Permanent Address*											
City/town/village						Pin Code					
State						Country					

*(if different from above. Mandatory for Non-Resident Applicant to specify overseas address.)

DECLARATION

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

✓ (-1-1)

Signature of the Applicant _____

Date : _____ **(dd/mm/yyyy)**

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

In-Person-Verification (IPV) details:

- a) Name of the person doing IPV _____
- b) Designation _____ c) Name of Organization : **Peerless Securities Limited**
- d) Signature _____ e) Date _____

Name & Signature of the Authorised Signatory _____

Date : _____

KNOW YOUR CLIENT (KYC) APPLICATION FORM (For Non-Individuals)



PEERLESS SECURITIES LIMITED

Please fill this form in ENGLISH and in BLOCK LETTERS

IDENTITY DETAILS																					
Name of the Applicant																					
Date of Incorporation						D	D	M	M	Y	Y	Y	Y	Place of Incorporation							
Date of commencement of business						D	D	M	M	Y	Y	Y	Y	PAN							
Registration No. (e.g. CIN)																					
Status (Please tick any one)						<input type="checkbox"/> Private Limited Co. <input type="checkbox"/> Public Ltd. Co. <input type="checkbox"/> Body Corporate <input type="checkbox"/> Trust <input type="checkbox"/> Charities <input type="checkbox"/> NGO's <input type="checkbox"/> Bank <input type="checkbox"/> Government Body <input type="checkbox"/> Non-Government Organization <input type="checkbox"/> Defence Establishment <input type="checkbox"/> Society <input type="checkbox"/> LLP <input type="checkbox"/> Partnership <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> HUF <input type="checkbox"/> AOP <input type="checkbox"/> BOI <input type="checkbox"/> Others (please specify) _____															
ADDRESS DETAILS																					
Correspondence Address																					
City/town/village												PIN Code									
State												Country									
Specify the proof of address submitted for correspondence address																					
Contact Details																					
Tel. (Off.)												Tel. (Res.)									
Fax No.												Mobile No.									
Email id																					
Registered Address (if different from above)																					
City/town/village												PIN Code									
State												Country									
OTHER DETAILS																					
Name, PAN, residential address and photographs of Promoters / Partners / Karta / Trustees and whole time directors												as per ANNEXURE									
DIN of whole time directors												as per ANNEXURE									
Aadhaar number of Promoters / Partners / Karta												as per ANNEXURE									

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.

✓ **(C-1)**

Name & Signature of the Authorised Signatory (ies) **Date :** _____ **(dd/mm/yyyy)**

FOR OFFICE USE ONLY

Originals verified and Self-Attested Document copies received

Name & Signature of the Authorised Signatory

Date : _____

Seal/Stamp of the intermediary

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 authorized 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 authorized for attesting the documents, as per the below mentioned list.
3. If any proof of identity or address is in a foreign language, then translation into English is required.
4. Name & address of the applicant mentioned on the KYC form, should match with the documentary proof submitted.
5. If correspondence & permanent address are different, then proofs for both have to be submitted.
6. Sole proprietor must make the application in his individual name & capacity.
7. For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/ PIO Card/OCI Card and overseas address proof is mandatory.
8. For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.
9. In case of Merchant Navy NRI's, Mariner's declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
10. For opening an account with Depository participant or Mutual Fund, for a minor, photocopy of the School Leaving Certificate/Mark sheet issued by Higher Secondary Board/Passport of Minor/Birth Certificate must be provided.
11. Politically Exposed Persons (PEP) are defined as individuals who are or have been entrusted with prominent public functions in a foreign country, e.g., Heads of States or of Governments, senior politicians, senior Government/ judicial/ military officers, senior executives of state owned corporations, important political party officials, etc.

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

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

F. In case of Non-Individuals, additional documents to be obtained from non-individuals, over & above the POI & POA, as mentioned below :

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 Karta.

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.
- Authorized signatories list with specimen signatures.

Banks / Institutional Investors

- Copy of the constitution/registration or annual report/balance sheet for the last 2 financial years.
- Authorized signatories list with specimen signatures.

Foreign Institutional Investors (FII)

- Copy of SEBI registration certificate.
- Authorized signatories list with specimen signatures.

Army / Government Bodies

- Self-certification on letterhead.
- Authorized 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.
- True copy of Society Rules and Bye Laws certified by the Chairman/Secretary.

TRADING ACCOUNT RELATED DETAILS - FOR INDIVIDUALS & NON-INDIVIDUALS

BANK ACCOUNT(S) DETAILS		
	First Bank Details	Second Bank Details
Bank Name		
Branch		
Address		
Bank A/c No.		
A/c Type	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO	<input type="checkbox"/> Saving <input type="checkbox"/> Current <input type="checkbox"/> Others-In case of NRI/NRE/NRO
MICR No.		
IFSC code		
DEPOSITORY ACCOUNT(S) DETAILS		
	First Demat A/c Details	Second Demat A/c Details
Depository Participant Name		
Depository Name	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL <input type="checkbox"/> CDSL
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		
TRADING PREFERENCES - * Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.		
Exchange	Segment	Signature
1. National Stock Exchange of India Ltd.	- Cash	✓②
	- F&O	✓③
	- Currency Derivatives	✓④
	- MFSS	✓⑤
2. BSE Limited	- Cash	✓⑥
	- MFSS	✓⑦
3. Multi Commodity Exchange of India Ltd.	- Commodity	✓⑧
# If, in future, the client wants to trade on any new segment/new exchange, separate authorization/letter should be taken from the client by the stock broker.		

OTHER DETAILS			
Gross Annual Income Details (please specify)			
Income Range per annum	<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> 1-5 Lac <input type="checkbox"/> 5-10 Lac <input type="checkbox"/> 10-25 Lac <input type="checkbox"/> 25 Lacs-1 crore <input type="checkbox"/> > 1 crore		
Net-worth	₹	as on (date)	
(Net worth should not be older than 1 year)		(dd/mm/yyyy)	
Occupation (Individuals) (Please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Service <input type="checkbox"/> Business <input type="checkbox"/> Professional <input type="checkbox"/> Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/> Housewife <input type="checkbox"/> Student <input type="checkbox"/> Others _____ Brief details _____		
Please tick, if applicable, for any of your authorized signatories / Promoters / Partners / Karta / Trustees / whole time directors		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP)	
PAST ACTIONS			
Details of any action / proceedings initiated / pending / taken by SEBI / Stock exchange / any other authority against the applicant / constituent or its Partners / promoters / whole time directors / authorized persons in charge of dealing in securities during the last 3 years			
DEALINGS THROUGH SUB-BROKERS AND OTHER STOCK BROKERS			
If client is dealing through the sub-broker, provide the following details			
Sub-broker's Name			
SEBI Regn. Number			
Regd. Off. Address			
Phone	Fax	Website	
Whether dealing with any other stock broker / sub-broker (if case dealing with multiple stock brokers /sub-brokers, provide details of all using additional sheets)			
Name of stock broker			
Name of Sub-Broker, if any			
Client Code	Exchange		
Details of disputes/dues pending from/to such stock broker/sub- broker			
ADDITIONAL DETAILS			
Whether you wish to receive physical contract note or Electronic Contract Note (ECN) (please specify)			
_____, Specify your Email id, if applicable :			
Whether you wish to avail of the facility of internet trading / wireless technology (please specify)			
<input type="checkbox"/> YES <input type="checkbox"/> NO			
Whether you wish to receive the standard documents - Rights and Obligations, Risk Disclosure Document (RDD) and Guidance Note physically or electronically (please specify)_____			
Number of years of Investment / Trading Experience			

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others		As per Annexure
Any other information		
INTRODUCER DETAILS (optional)		
Name of the Introducer		
	(Surname)	(Name) (Middle Name)
Status of the Introducer	<input type="checkbox"/> Sub-broker <input type="checkbox"/> Remisier <input type="checkbox"/> Authorized Person <input type="checkbox"/> Existing Client <input type="checkbox"/> Others, please specify	
Address and Phone No. of the Introducer		
Signature of the Introducer		
NOMINATION DETAILS (for individuals only)		
<input type="checkbox"/> I/We wish to nominate <input type="checkbox"/> I/We do not wish to nominate		
Name of the Nominee		
Relationship with the Nominee		
PAN of Nominee	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>	Date of Birth of Nominee
Address and Phone No. of the Nominee		
If Nominee is a minor, details of guardian :		
Name of guardian		
Address and Phone No. of Guardian		
Signature of guardian		
WITNESSES (Only applicable in case the account holder has made nomination)		
	First Witness Details	Second Witness Details
Name		
Signature		
Address		

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.

2. 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.
3. I/We further confirm having read and understood the contents of the 'Rights and Obligations' document(s) and 'Risk Disclosure Document'. I/We do hereby agree to be bound by such provisions as outlined in these documents. I/We have also been informed that the standard set of documents has been displayed for Information on stock broker's designated website, if any.

Place : _____

✓ ⑨

Signature of Client/ (all) Authorized Signatory (ies)

Date : _____

ANNEXURE

DETAIL OF PROMOTERS / PARTNERS / KARTA / TRUSTEES AND WHOLE TIME DIRECTORS AND PERSONS AUTHORIZED TO DEAL IN SECURITIES ON BEHALF OF COMPANY / FIRM / OTHERS

Particulars	1st	2nd	3rd
Designation			
Name			
PAN			
DIN / UID			
Residential Address			
Photograph	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it	Please affix your recent passport size photograph and sign across it
Signature			

Use additional sheets, if required.

FOR OFFICE USE ONLY

UCC Code allotted to the Client : _____

	Documents verified with Originals	Client Interviewed By
Name of the Employee		
Employee Code		
Designation of the employee		
Date		
Signature		

I / We undertake that we have made the client aware of 'Policy and Procedures', tariff sheet and all the non-mandatory documents. I/We have also made the client aware of 'Rights and Obligations' document (s), RDD and Guidance Note. I/We have given/sent him a copy of all the KYC documents. I/We undertake that any change in the 'Policy and Procedures', tariff sheet and all the non-mandatory documents would be duly intimated to the clients. I/We also undertake that any change in the 'Rights and Obligations' and RDD would be made available on my/our website, if any, for the information of the clients.

Signature of the Authorised Signatory

Date : _____

Seal/Stamp of the stock broker

INSTRUCTIONS / CHECK LIST

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

Copy of ITR Acknowledgement	Copy of Annual Accounts
In case of salary income - Salary Slip, Copy of Form 16	Net worth certificate
Copy of demat account holding statement	Bank account statement for last 6 months
Any other relevant documents substantiating ownership of assets	Self declaration with relevant supporting documents

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

2. Copy of cancelled cheque leaf / 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 :
 - a. Stock broker has an option of doing 'in-person' verification through web camera at the branch office of the stock broker / sub-broker's office.
 - b. In case of non-resident clients, employees at the stock broker's local office, overseas can do in-person verification. Further, considering the infeasibility of carrying out 'In-person' verification of the non-resident clients by the stock broker's staff, attestation of KYC documents by Notary Public, Court, Magistrate, Judge, Local Banker, Indian Embassy / Consulate General in the country where the client resides may be permitted.
5. For non-individuals :
 - a. Form need to be initialized by all the authorized signatories.
 - b. Copy of Board Resolution or declaration (on the letterhead) naming the persons authorized to deal in securities on behalf of company / firm / others and their specimen signatures.

MANDATORY

TARIFF SHEET

BROKERAGE DETAILS (to be filled in by the Branch Manager)

BROKERAGE SLAB

CASH MARKET SEGMENT*		
	NSE	BSE
Trading Brokerage		
Trading Minimum Brokerage		
Delivery Brokerage		
Delivery Minimum Brokerage		

* Subject to minimum brokerage per contract, which may vary from time to time.

	NSE FUTURES SEGMENT		MCX FUTURES SEGMENT			NSE OPTIONS SEGMENT	MCX OPTIONS SEGMENT
	1st Leg	2nd Leg	1st Leg	2nd Leg			
Intra day/ Sq.off					% of Premium		
Carry forward					Minimum		

CURRENCY DERIVATIVES SEGMENT		
	NSE	
	1st Leg	2nd Leg
Intra day/ Sq.off		
Carry forward		
% of Premium		
Minimum		

Transaction charges, stamp duty, GST, CTT, CM charges and any other statutory levies will be charged extra.

BM's Signature

✓(10)

Client Signature

Disclosure of Proprietary trading pursuant to SEBI Circular No. : SEBI/MRD/SE/Cir-42/2003 dated 19th Nov., 2003, NSE Circular No. : NSE/INVG/PRE/2003/16 dated 25th Nov., 2003 and BSE Notice No. 20031125-7 dated 25 November, 2003 and MCX Circulars & guidelines :

We, **PEERLESS SECURITIES LTD.**, are also engaged in Proprietary trading apart from Client based business.

ACCOUNT OPENING FORM (FOR INDIVIDUALS)



PEERLESS SECURITIES LIMITED

CLIENT ID		Date	D	D	M	M	Y	Y	Y	Y	
(To be filled by Participant)											
I/We request you to open a depository account in my/our name as per the following details :											
(Please fill all the details in CAPITAL LETTERS only)											
A) DETAILS OF ACCOUNT HOLDER(S) :											
Account Holder(s)											
Sole/ First Holder Name											
Second Holder Name											
Third Holder Name											
	Sole/ First Holder	Second Holder	Third Holder								
PAN											
Occupation (please tick any one and give brief details)	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Please specify);	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Please specify);	<input type="checkbox"/> Private Sector <input type="checkbox"/> Agriculturist <input type="checkbox"/> Public Sector <input type="checkbox"/> Retired <input type="checkbox"/> Government Service <input type="checkbox"/> Housewife <input type="checkbox"/> Business <input type="checkbox"/> Student <input type="checkbox"/> Professional <input type="checkbox"/> Others (Please specify);								
Brief details											
B) For Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., although the account is opened in the name of the natural persons, the name & PAN of the Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc. should be mentioned below :											
Name						PAN					
C) Type of account	<input type="checkbox"/> Ordinary Resident <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Margin	<input type="checkbox"/> NRI-Repatriable <input type="checkbox"/> Foreign National <input type="checkbox"/> Others (Please specify) _____	<input type="checkbox"/> NRI-Non Repatriable <input type="checkbox"/> Promoter								
D) Gross Annual Income Details - Income Range per annum (please tick any one)											
<input type="checkbox"/> Below ₹ 1 Lac <input type="checkbox"/> ₹ 1 - 5 Lac <input type="checkbox"/> ₹ 5 - 10 Lac <input type="checkbox"/> ₹ 10 - 25 Lac <input type="checkbox"/> More than ₹ 25 Lacs											
E) In case of NRIs/ Foreign Nationals											
RBI Approval Reference No.						RBI Approval date	D	D	M	M	Y
F) BANK DETAILS :											
Bank A/c Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____										
Bank A/c No.											
Bank Name											
Branch Address											
City/town/village						Pin Code					
State						Country					
MICR Code						IFSC					

G) Please tick, if applicable <input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)	
H) STANDING INSTRUCTIONS :	
I/We authorise you to receive credits automatically into my/our account.	<input type="checkbox"/> Yes <input type="checkbox"/> No
Account to be operated through Power of Attorney (PoA)	<input type="checkbox"/> Yes <input type="checkbox"/> No
Auto Pledge Confirmation	<input type="checkbox"/> Yes <input type="checkbox"/> No
SMS Alert facility : [Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]	
Sole/First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No
Mode of receiving Statement of Account (<i>Tick any one</i>)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form
Mode of receiving Rights and Obligation Document (<i>Tick any one</i>)	<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form
<i>(Read Note 3 and ensure that email ID is provided in KYC Application Form)</i>	
I) Guardian Details (where sole holder is a minor) : [For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for the minor (to be signed by guardian)]	
Guardian Name	PAN
Relationship of guardian with minor	
J) Nomination Option	<input type="checkbox"/> I/We wish to make a nomination. <input type="checkbox"/> I/We do not wish to make a nomination. [Details are provided at FORM 10]
K) BSDA Option	<input type="checkbox"/> I/We wish to avail a BSDA Facility. [As per details given below] <input type="checkbox"/> I/We do not wish to avail a BSDA Facility and want to keep my account as regular account.
BSDA Details	I/We have read and understood the Securities and Exchange Board of India's guidelines for facility for a BSDA. I/We hereby declare that I/we am/are eligible to open a depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India (SEBI) or any such authority for such facility from time to time. I/We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my / our aforesaid account is liable to be converted to regular account.

DECLARATION

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 accounts. 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. In case non-resident account, I/we also declare that I/we have complied and will continue to comply with FEMA regulations. **I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".**

	Name(s) of holder(s)	Signature(s) of holder
Sole/First Holder/Guardian (in case sole holder is minor) (Mr./Ms.)		(I-11) ✓
Second Holder (Mr./Ms.)		✓
Third Holder (Mr./Ms.)		✓

NOTES :

1. All communication shall be sent at the address of the Sole/First holder only.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

Peerless Securities Trust. Invest. Progress		FORM 10 FORM FOR NOMINATION/ CANCELLATION OF NOMINATION (To be filled in by individual applying singly or jointly)															NSDL Technology, Trust & Reach						
Date	D	D	M	M	Y	Y	Y	Y	DP ID	I	N	3	0	0	9	5	8	Client ID					
<input type="checkbox"/> I/We wish to make a nomination. [As per details given below] <input type="checkbox"/> 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 below]																							
Nomination Details																							
I/We wish to make a nomination and do hereby nominate the following person(s) who shall receive all securities held in the Depository by me/us in the said beneficiary owner account in the event of my / death.																							
Nomination can be made upto three nominees in the account.										Details of 1 st Nominee						Details of 2 nd Nominee				Details of 3 ^d Nominee			
1	Name of the nominee(s) (Mr./Ms.)																						
2	Share of each Nominee		Equally <input type="checkbox"/>		[If not equally please specify percentage]																		
Any odd lot after division shall be transferred to the first nominee mentioned in the form.																							
3	Relationship With the Applicant (If any)																						
4	Address of Nominee(s)																						
										PIN Code													
5	Mobile/Telephone No. of nominee(s)																						
6	Email ID of nominee(s)																						
7	Nominee Identification details – [Please tick any one of following and provide details of same]																						
<input type="checkbox"/> Photograph & Signature 										Photograph of Nominee Signature across						Photograph of Nominee Signature across				Photograph of Nominee Signature across			
Signature										✍						✍				✍			
<input type="checkbox"/> PAN																							
<input type="checkbox"/> Aadhaar																							
<input type="checkbox"/> Saving Bank account no.																							
<input type="checkbox"/> Proof of Identity																							
<input type="checkbox"/> Demat Account ID																							
Sr. Nos. 8-14 should be filled only if nominee(s) is a minor:																							
8	Date of Birth {in case of minor nominee(s)}																						
9	Name of Guardian (Mr./Ms.) {In case of minor nominee(s)}																						
10	Address of Guardian(s)																						
										PIN Code													
11	Mobile/Telephone no. of Guardian																						
12	Email ID of Guardian																						
13	Relationship of Guardian with nominee																						

14	Guardian Identification details – [Please tick any one of following and provide details of same]			
	<input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no. <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID			
Name(s) of holder(s)		Signature(s) of holder		
Sole/ First Holder (Mr./Ms.)		I-11.1 ✓		
Second Holder (Mr./Ms.)		✓		
Third Holder (Mr./Ms.)		✓		
Signature of Witness for Nomination				
Name of the Witness		Address		Signature of witness
				Date
				D D M M Y Y Y Y

NOTES :

- The nomination can be made only by individuals holding beneficiary owner accounts on their own behalf singly or jointly. Non- individuals 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.
- A minor can be nominated. In that event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
- The Nominee(s) shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary owner account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
- Transfer of securities in favour of a Nominee(s) shall be valid discharge by the depository and the Participant against the legal heir.
- The cancellation of nomination can be made by individuals only holding beneficiary owner accounts on their own behalf singly or jointly by the same persons who made the original nomination. Non- individuals 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 holders will sign the cancellation form.
- On cancellation of the nomination, the nomination shall stand rescinded and the depository shall not be under any obligation to transfer the securities in favour of the Nominee(s).
- Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
- On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
- Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
- Savings bank account details shall only be considered if the account is maintained with the same participant.
- DP ID and client ID shall be provided where demat details is required to be provided.

DECLARATION IN CASE OF SAME MOBILE NUMBER AND / OR E.MAIL ID FOR DIFFERENT CLIENTS

[Please tick (✓) wherever applicable]

DP ID	IN300958	Client ID		Date	
Name of First Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of account holder		✓(I-11.2)			
Name of First Holder					

DP ID	IN300958	Client ID		Date	
Name of Second Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of account holder		✓(I-11.2.1)			
Name of Second Holder					

DP ID	IN300958	Client ID		Date	
Name of Third Holder					
<input type="checkbox"/> Mobile Number					
<input type="checkbox"/> Email ID					
I hereby declare that the aforesaid mobile number or E-mail ID belongs to <input type="checkbox"/> Me or <input type="checkbox"/> My family (spouse, dependent children and dependent parents).					
Signature of account holder		✓(I-11.2.2)			
Name of Third Holder					

ACCOUNT OPENING FORM (FOR NON-INDIVIDUALS)



PEERLESS SECURITIES LIMITED

CLIENT ID		Date	D	D	M	M	Y	Y	Y	Y
(To be filled by Participant)										
We request you to open a depository account in our name as per the following details : (Please fill all the details in CAPITAL LETTERS only)										
A) DETAILS OF ACCOUNT HOLDER(S) :										
	Name	PAN								
Sole/ First Holder										
Second Holder										
Third Holder										
B) Type of account	<input type="checkbox"/> Body Corporate <input type="checkbox"/> FI <input type="checkbox"/> FII <input type="checkbox"/> Qualified Foreign Investor <input type="checkbox"/> Mutual Fund <input type="checkbox"/> Trust <input type="checkbox"/> Bank <input type="checkbox"/> CM <input type="checkbox"/> HUF <input type="checkbox"/> Others (Please specify) _____									
C) For Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., although the account is opened in the name of the partner(s), trustee(es) etc., the name & PAN of the Partnership Firm, Unregistered Trust, Association of Persons (AOP) etc., should be mentioned below :										
Name					PAN					
D) Income Details (please specify) - Income Range per annum										
<input type="checkbox"/> Below ₹ 20 Lac <input type="checkbox"/> ₹ 20 - 50 Lac <input type="checkbox"/> ₹ 50 Lac - 1 Crore <input type="checkbox"/> Above ₹ 1 Crore, and										
Networth Amount ₹					as on (Date)	D	D	M	M	Y
(Net worth should not be older than 1 year)										
E) In case of FIIs/Others (as may be applicable)										
RBI Approval Reference No.					RBI Approval date	D	D	M	M	Y
SEBI Registration Number (for FIIs)										
F) BANK DETAILS :										
Bank A/c Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others (Please specify) _____									
Bank A/c No.										
Bank Name										
Branch Address										
City/town/village					Pin Code					
State					Country					
MICR Code					IFSC					

G) Please tick, if applicable, for any of your authorized signatories/Promoters/Partners/Karta/Trustees/whole time directors:		<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to Politically Exposed Person (RPEP)			
H) Clearing Member Details (to be filled up by Clearing Members only)					
Name of Stock Exchange					
Name of Clearing Corporation/ Clearing House					
Clearing Member ID					
SEBI Registration Number					
Trade Name					
CM-BP-ID (to be filled up by Participant)					
I) STANDING INSTRUCTIONS :					
1. We authorise you to receive credits automatically into our account		<input type="checkbox"/> Yes <input type="checkbox"/> No			
2. Account to be operated through Power of Attorney (PoA)		<input type="checkbox"/> Yes <input type="checkbox"/> No			
3. Auto Pledge Confirmation		<input type="checkbox"/> Yes <input type="checkbox"/> No			
4. SMS Alert facility :					
Sole/First Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No	Second Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Third Holder	<input type="checkbox"/> Yes <input type="checkbox"/> No				
5. Mode of receiving Statement of Account (Tick any one)		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form			
6. Mode of receiving Rights and Obligation Document (Tick any one)		<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form			
<i>(Read Note 3 and ensure that email ID is provided in KYC Application Form)</i>					
J) LIST OF FAMILY MEMBERS (SEPARATE ANNEXURE MAY BE USED IN CASE NUMBER OF MEMBER IS HIGHER)					
Sl. No.	Name of Coparcener / Member	Gender	Date of Birth	Relation with Karta	*Whether Coparcener/ Member (Please specify)

* Son, daughter, grandson & grand-daughter will be Co-parceners. Spouse, daughter-in-law will be Members.

DECLARATION

The Rules and Regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by us and we have understood the same and we agree to abide by and to be bound by the rules as are in force from time to time for such accounts. We hereby declare that the details furnished above are true and correct to the best of our knowledge and belief and 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, we are aware that we may be held liable for it. **I/we acknowledge the receipt of copy of the document, "Rights and Obligations of the Beneficial Owner and Depository Participant".**

Authorised Signatories (Enclose a Board Resolution for Authorised Signatories. In case of HUF, details of Karta to be given)

Sole/First Holder	Name	Signature(s)
First Signatory / Karta of HUF		(C-11.1) ✓
Second Signatory		✓
Third Signatory		✓
Other Holders		
Second Holder		✓
Third Holder		✓
Mode of Operation for Sole/First Holder (In case of joint holdings, all the holders must sign. In case of HUF, this is not applicable.)		
<input type="checkbox"/> Any one singly		
<input type="checkbox"/> Jointly by		
<input type="checkbox"/> As per resolution		
<input type="checkbox"/> Others (please specify)		

NOTES:

1. In case of additional signatures, separate annexures should be attached to the application form.
2. Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
3. For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
4. Strike off whichever is not applicable.

Option for issuance of DIS booklet alongwith account opening

(to be filled by persons seeking to open a depository account who have given Power of Attorney to operate the depository account to a stock broker/Participant/Portfolio Manager and do not intend to open a Basic Services Demat Account)



PEERLESS SECURITIES LIMITED

Name(s) of account holder(s)	
Sole / First Holder	
Second Holder	
Third Holder	

Option for Issue of DIS booklet (please tick any one)

- Option 1** - I/We wish to receive the Delivery Instruction Slip (DIS) booklet with account opening.
- Option 2** - I/We do not wish to receive the DIS booklet with account opening. However, the DIS booklet should be issued to me/ us immediately on my/ our request at any later date.

In case of Option 2, mode of receiving Client Master Report and copy of Schedule of Charges

Physical (Address as mentioned in KYC Form) **Electronic** (E.mail ID as mentioned in KYC Form)

Beneficial Owner	Name	Signature with date
Sole/First Holder		✓ 12
Second Holder		
Third Holder		

Acknowledgement Receipt

Received OPTION FORM FOR ISSUE / NON ISSUE OF DIS BOOKLET from :

DP ID	I	N	3	0	0	9	5	8	Client ID						
Name of the Sole / First Holder															
Name of Second joint Holder															
Name of Third joint Holder															

For **Peerless Securities Ltd.**

Seal and Signature

Authorised Signatory

Acknowledgement



PEERLESS SECURITIES LIMITED

Serial No. :

Received the application from Mr/Ms/M/s _____ as the sole/first holder alongwith _____ and _____ as the second and third holders respectively for opening of a depository account. Please quote the DP ID & Client ID allotted to you (CM-BP-ID in case of Clearing Members) in all your future correspondence.

For **Peerless Securities Ltd.**

Seal and Signature

Date :

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

Authorised Signatory

PEERLESS SECURITIES LIMITED

Regd. Office : 1, Chowringhee Square, 2nd Floor, Kolkata - 700 069
Phone : 4050-2700, 2243-5942, **Fax :** (033) 2243-6941
E.mail : pslrelations@peerlesssec.co.in, **Website :** www.peerlesssec.co.in
CIN : U67120WB1995PLC067616
Email ID for Investor Complaint : pslrelations@peerlesssec.co.in
DP ID : IN300958 ❖ SEBI Regn. No. IN-DP-NSDL-96-99

Schedule A

Rates for Depository Services offered by Peerless Securities Limited w.e.f. 1st April, 2016

Fee Head	Fees	
	Regular Account	Basic Services Demat Account
Maintenance Charges* For Individuals - ₹ 650 per annum For Corporates - ₹ 650 in addition to NSDL Charges p. a.		Asset Holding - ₹ 0 to ₹ 50,000 - Nil - ₹ 50,001 to ₹ 2 Lacs - ₹ 100 per annum
Transaction (Sales) (Per Instruction)	Manual - ₹ 15 for Intra DP and ₹ 21 for Inter DP Speede - ₹ 12	0.5% of the value of the txn subject to min ₹ 50 (Applicable for Speede transaction as well)
Demographic detail change (except Mobile & email ID)	₹ 50 per request	₹ 100 per request
Additional Booklet	₹ 20 per booklet	₹ 50 per booklet
Demat	₹ 2 per certificate - Minimum ₹ 500 per request payable over the counter	
Remat	₹ 12 per certificate - Minimum ₹ 500 per request in addition to NSDL charges payable over the counter	
Pledge	₹ 35 for creation and ₹ 15 for closure	

- * Maintenance charges payable at the time of opening the account for the first year and in April of every subsequent year.
- ❖ The value of securities held in the BSDA shall not exceed ₹ 2 lacs at any point of time. If the value of holding exceeds ₹ 2 lacs, the charges as applicable to Regular Demat Account will be levied.
 - ❖ Non-periodic statements will be charged at ₹ 10 for first 5 pages and thereafter ₹ 2 per page.
 - ❖ For weekly statements ₹ 50 will be charged per month, which is payable in advance within 10th of every month.
 - ❖ ₹ 20/- for each erroneous/failed/rejected transaction, for billing clients which is ₹ 5.
 - ❖ Charges will be ₹ 250 per cheque bounce.
 - ❖ Transmission charge ₹ 250 per request payable upfront.
 - ❖ Password reset charge of ₹ 20 per request for IDeAS & SPEED-e Password users.
 - ❖ SEBI penalty charges will be reimbursed from CMs on actuals.
 - ❖ Non payment of bill after 30 days from the due date will cause withdrawn of depository services for the account.
 - ❖ Charges are subject to revision at the company's (PSL) sole discretion.
 - ❖ Late submission charge for same day Pay-In is ₹ 20 per transaction in addition to transaction charge.
 - ❖ GST & other regulatory charges will be recovered separately.

Discounted transaction charges, delivered through SPEED-e is ₹ 12 per transaction. SPEED-e charges - ₹ 200 in addition to NSDL charges per financial year for Smartcard users.
Free Services - IDeAS* (Internet based Demat Account Statement) *For Beneficiary account holders only
The Depository Participant may charge interest @ not more than 24% p.a. or such other rate as may be specified by the Executive Committee from time to time for the period from due date to date of payment.

✓ (13)

Sole/First Holder

Second Holder

Third Holder

POLICIES & PROCEDURES

This document contains the general policies and procedures adopted by Peerless Securities Limited in line with SEBI directives as per Circular No. MIRSD/SE/Cir-19/2009 dated 3rd December, 2009, which will have a bearing on the client's dealings with Peerless Securities Limited (PSL) and vice versa. Client is requested to take note of the following policies and procedures before placing orders for security trading:

a) Refusal of Orders for penny stocks:

Penny stocks are illiquid stocks generally of small companies and such stocks are traded infrequently and generate very low volume. Details of illiquid stocks are circulated by the Stock Exchanges every month in their websites. Clients may note that Peerless Securities Limited will not encourage trade in penny stocks and as such order received from client for buy of such stocks or intraday trading will be referred by the concerned Branch to the Head Office of PSL and approval of allowing such trade or otherwise will be conveyed to the Branch after the matter is examined at the appropriate level. The decision will essentially rest on the financial position, back ground, trading history of the client and the stock. Client as a matter of right cannot expect trading rights in penny stocks/illiquid stock and if allowed there should be 100% margin available in client's account. The list of selective style of securities will be displayed in PSL's website from time to time.

b) Setting up client's exposure limit:

It is the policy of PSL to set down rules and modalities for setting up exposure limits for its clients. Exposure limits are set taking into consideration the market volatility, risk perception about the trading client, and availability of shares in client margin account. The exposure limit is set as an integer of the clear balance available for the client, viz. balance in the trading account and value of shares held in Margin/Hold-on accounts after appropriate hair-cuts and such limits may vary from client to client depending on the risk perception and value of clients. Depending on the market dynamism exposure limit may undergo change even during a day.

c) Applicable Brokerage Rate:

The brokerage rates are fixed at the time of opening of trading account and the rates at which brokerage is to be charged are mentioned in the account opening form. Same brokerage rate may not be applicable for all clients as the rates have a relevance on the risk perception about the client and the volume of trade. It may, however, be noted if for any reason brokerage rate is revised upward, this will be done with prior intimation to the client and the rates would be maintained within the permissible ceiling rates prescribed by the Stock Exchanges.

d) Imposition of penalty/delayed payment charges:

It may be noted that PSL has the right to charge penalty/delayed payment charge in the event of client's failure to make payment against purchase of shares within the stipulated period i.e. T+2 day and for any outstanding debit balance in his trading account. The discretion to levy such charge in the trading account, at a rate not exceeding 2% per month, will solely rest with PS without any reference to the client.

e) The right to sell clients' securities or close client's positions without giving notice to the client on account of non-payment of client's dues:

Payment for purchase of security has to be made by the client through account payee cheque only from the declared bank a/c of the client favoring Peerless Securities Ltd. by T+1st day but not later than the due date for paying of funds to the concerned exchange. No third party cheque is acceptable. Client should arrange for deposit of such cheque well in advance as the date on which clear fund available in the bank account of PSL that would be treated as the date of having received the payment although a receipt may be issued at an early date for the cheque given by the client. PSL would present the cheques in clearing and would not be responsible for any delay due to clearing in the banking system.

The client should note that in the event of his failure to make payment price of securities purchased through PSL and the relative brokerage/Security Transaction Tax and other charges before the pay-in-date notified by the exchange from time to time, PSL can sell the securities at any time on the Exchange without giving any prior intimation, either verbal or in writing, to the client. Client is expected to honour all his obligations promptly to avoid such situations.

Further, if payment / securities towards the Margin or shortfall in Margin is not received instantaneously to enable restoration of sufficient Margin in the Client's account, all or some of the positions of the Client as well as the Securities of the Client in the possession or control of PSL may be liquidated by PSL at its sole discretion, without any reference or prior notice to the Client.

The resultant or associated losses that may occur due to such squaring off or sale of such securities shall be borne by the Client, PSL will remain fully indemnified and held harmless by the Client in this behalf. Such liquidation or close out of positions shall apply to any segment in which the client will do business with PSL.

f) Shortages in obligations arising out of internal netting of trades

In case, in any settlement, where both the purchase and sale position for any scrip are limited between two or more clients of PSL only, and the net position to the concerned Exchange in that settlement and for that scrip is "NIL"; in such a situation, if there is any short delivery, the resultant auction position will be inter client for both legs i.e., the party delivering short and the corresponding purchaser. In such circumstances the position of both the clients would be squared off by taking Purchase Price/ Selling Price/ Weighted Average Price/ Exchange Auction Price, whichever is higher for that particular share, for that particular settlement to protect the buyer's interest.

g) Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client

A client is not allowed to take further position or the existing position of a client can be closed on the following conditions :

- 1) If the ledger of a client shows continuous debit balances.
- 2) If there is erosion in the available cushion during the day- for example, if there is drop in available margin value by more than 50% the client may be refused to take any further position in cash segment against the same margin and existing positions in F&O segments may be closed out.
- 3) If the margin deposited by the client is insufficient vis-à-vis the exposure assumed by the client.
- 4) If the dues are not settled by the client.
- 5) If the exchange is not allowing any further position in that scrip.
- 6) If broker's limit of taking exposure in that particular scrip comes to an end
- 7) Any other reasons as considered prudent by PSL. By way of illustration these may be irrational/ illogical behaviour of the client by which the working atmosphere of the branch of PSL may be affected, false and unfounded allegations which have a bearing on PSL's reputation brought by the client etc.

h) Temporarily suspension or closure of client's account at the client's request:

The account of the client shall be suspended/closed on receipt of written request from the client, provided there are no dues from the client. For accounts suspended on the client's request, the same can be reactivated only after receiving a written request for the same from the client.

Policy concerning Inactive Accounts

Definition of Inactive Accounts. An account to be inactive in the following event :

When a trading account shows no transactions i.e. buying and / or selling of securities by the concerned client for a period of consecutive 6 months, the said account will be deemed to be a Dormant account and if remain without any transactions for another 6 months, the said account will be deemed to be an Inactive Account. The exercise of finding out Inactive accounts will be done every 6 months in September and March.

Manner of return assets : Once an account is identified as dormant / inactive, Peerless Securities Ltd. consider return of the assets retained by the concerned client.

Reactivation of dormant / inactive accounts :

Dormant : Trading will be allowed only against written request of the client concerned and decision to allow trading will be given by a senior officer at Head Office.

Inactive : Apart from following the above procedure, the client has to fill in the account opening form once again and submit necessary documents regarding identity / address / financial status etc.

i) Deregistration of a client:

A client shall be deregistered upon fulfillment of the following conditions:

- a) On receipt of the specific request from the client to deregister himself and to close his accounts, provided there are no dues from the client to PSL.
- b) On account of breach of terms and conditions of the agreement by the client.
- c) On account of any action taken by SEBI/Stock Exchange/ any other authority against the client thereby debarring him from accessing the securities market.

Deregistration will be done after effecting full and final settlement of the accounts and securities of the client.

✓ (14)

Signature of the Client

AUTHORITY LETTER FOR RUNNING ACCOUNT OF FUNDS AND SECURITIES

Date : _____

To
Peerless Securities Ltd.
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Dear Sir,

1. With reference to my/our trading account opened with you, I/we request you to maintain a running account for funds and securities on my/our behalf without settling the account on settlement of each transaction. I/We further request you to retain all amounts and securities receivable by me/us until specifically requested by me/us to be settled within one working day of request, if the same is lying with **Peerless Securities Ltd.** & within 3 working days from the request if the same is lying with clearing member / clearing corporation.
2. I/we understand and agree that no interest will be payable to me/us on the funds or securities so retained with you.
3. I/we may be trading in derivatives segment & cash segment of various Exchanges and hence have various accounts with you. In this regard I/we hereby authorize **Peerless Securities Ltd.** to act at its discretion of adjusting any credit balance under my/ our various accounts against the debit in any account across segments/Exchange, without taking any further instruction from me/us.
4. I/we also confirm that the securities lying in my withhold A/c should be considered as margin deposit / collateral.
5. I/we authorize you to set off a part or whole of the margin deposited by me/us against any of my / our dues, by appropriating relevant amount of fund or by sale of securities which form part of margin.
6. I/we hereby authorize you to pledge my / our securities deposited as margin or withheld by you as permitted in the running account and to deposit my / our funds deposited as margin to Exchanges / Clearing Corporations towards margin.
7. I/we authorise **Peerless Securities Ltd.** to hold shares purchased by me / us in their beneficiary / pool account as collateral / margin against my / our future trades / obligations in same / other exchange / segment.
8. I/we may revoke the authorisation at any time by giving a written notice.
9. I/we also agree that the actual settlement of fund and securities shall be done by us, at least once in a quarter or month and the statement of account for the same will be provided to me by **Peerless Securities Ltd.**
10. I/we agree that fund given towards collaterals/margins in form of bank guarantee (BG) / Fixed Deposit Receipts (FDR) may not be periodically settled.
11. I/we agree that (a) in respect of derivatives market transactions, apart from margin liability as on the date of settlement, trading member may retain additional margins (maximum upto 125% of margin requirement on the day of settlement) to take care of any margin obligation arising in next 5 days, (b) in respect of cash market transactions, the Trading Member may retain entire pay-in obligation of funds & securities due from me / us as on the date of settlement and for next day's business, the Trading Member may retain funds / securities / margin to the extent of value of transactions executed on the day of such settlement.
12. I / we authorise you to retain an amount upto ₹ 10,000/- (consolidated amount across segments and across stock exchanges) for actual settlement of that respective traded quarter / month.
13. I/we agree/understand that there shall be no inter-client adjustment for the purpose of settlement of the running account.
14. I/we shall bring any dispute arising from the statement of account or settlement so made to the notice of the Trading Member preferably within 30 working days from the date of receipt of funds/securities or statement as the case may be.

PREFERENCE OF CLIENT FOR SETTLEMENT OF RUNNING ACCOUNT (FUNDS & SECURITIES)

Settlement Preferences	<input type="checkbox"/> Monthly	<input type="checkbox"/> Quarterly
------------------------	----------------------------------	------------------------------------

Thanking you,

Yours truly,

✓ 15

Signature of the Client
VOLUNTARY

MANDATE TO ISSUE DOCUMENTS IN ELECTRONIC FORMAT

Dated : _____

To
Peerless Securities Ltd.
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Sir,

Re : Electronic Communication

This has reference to the facility of receiving contract notes and other documents in Electronic form issued by you in compliance with regulations and guidelines issued by SEBI and Stock Exchanges. I / We understand that ECN are valid legal contract notes as per Stock Exchange / SEBI Rules and recognized under Income Tax Act, as well as other Acts in India.

Therefore, the ECN shall be an accepted form of Contract Note to me / us and should be mailed to the following Email ID(s) :

E-mail Id (a) _____	✓ (16)
(Primary - compulsory)	Signature of Client
(b) _____	✓ _____
(Alternate - optional)	Signature of Client

I / We wish to inform you that I / We would like to avail of this facility. In this regard we state the following :

1. This is to further confirm that it will be my / our responsibility that my / our Email ID is active and mail box is not full and the non-receipt of the bounced mail notification at your end shall amount to delivery of the ECN at my / our Email ID.
2. I / we undertake to check the ECNs and discrepancy if any shall be brought to your notice within 24 hours of the issuance of contract notes.
3. You are authorized to send me / us account statement / other documents / other notices / correspondence periodically through the same channel.
4. I / we undertake that any change in my / our Email ID shall be communicated to you in writing through a physical letter.

Kindly take the above into your record and oblige.

Thanking you,

Yours truly,

✓ **(17)**

Signature of Client

Name : _____

Appendix A - Electronic Contract Note [ECN] - DECLARATION (VOLUNTARY)

To
Peerless Securities Ltd.
Member : Multi Commodity Exchange of India Ltd.
1, Chowringhee Square, 2nd Floor
Kolkata - 700 069

Dear Sir,

I, _____, a client with **Peerless Securities Ltd.**,
Member of **Multi Commodity Exchange of India Ltd.**, undertake as follows:

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

The above declaration and the guidelines on ECN given in the Annexure have been read and understood by me. I am aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same. *(The email id must be written in own handwriting of the client.)

Client Name : _____

Unique Client Code : _____ PAN : _____

Address : _____

Signature of the client : _____

Date : _____

Place : _____

Verification of the client signature done by :

Name of the designated officer of **Peerless Securities Ltd.** _____

For Peerless Securities Ltd.

Authorised Signatory Signature

UNDERTAKING FOR TRADING IN COMMODITY DERIVATIVES

Date : _____

To
Peerless Securities Ltd.
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Dear Sir,

Subject : My/Our request for trading in commodity derivatives on MCX as your client

I/We, the undersigned, have taken cognizance of MCX circular no. MCX/338/2006 dated August 21, 2006 on the guidelines for calculation of net open positions permitted in any commodity and I/we hereby undertake to comply with the same.

I/We hereby declare and undertake that we will not exceed the position limits prescribed from time to time by MCX or SEBI and such position limits will be calculated in accordance with the contents of above stated circulars of MCX as modified from time to time.

I/We undertake to inform you and keep you informed if I/any of our partners/directors/karta/trustee or any of the partnership firms/companies/HUFs/ Trusts in which I or any of above such person is a partner/director/karta/trustee, takes or holds any position in any commodity derivative on MCX through you or through any other member(s) of MCX, to enable you to restrict our position limit as prescribed by the above referred circulars of MCX as modified from time to time.

I/We confirm that you have agreed to enter orders in commodity derivatives for me/us as your clients on MCX only on the basis of our above assurances and undertaking.

Yours faithfully,

✓ _____
Name and signature of the Client with seal

CLIENT COMMODITYWISE CATEGORISATION (MANDATORY - ONLY FOR COMMODITY CLIENTS)

Peerless Securities Ltd., Regd. Office : 1, Chowringhee Square, 2nd Floor, Kolkata - 700 069

I do hereby declare that my Commoditywise categorisation as a participant is as follows :

SR. NO.	SYMBOL DESCRIPTION	•FARMER FPOS	•VALUE CHAIN PARTICIPANTS (VCPs)	•PROPRIETARY TRADES	•DOMESTIC FINANCIAL INSTITUTIONAL INVESTORS	•FOREIGN PARTICIPANTS	•OTHERS
1.	ALUMINIUM	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	BARLEY	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	BRASS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	CARDAMOM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	CASTOR SEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	CHANA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	COPPER	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
8.	COPRA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
9.	CORIANDER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10.	COTTON	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11.	COTTONSEED OIL CAKE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12.	CRUDE PALM OIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13.	CRUDE OIL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
14.	DIAMOND	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
15.	GOLD	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
16.	GUARGUM	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
17.	GUARSEED	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
18.	ISABGUL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
19.	JEERA	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
20.	JUTE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
21.	KAPAS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22.	LEAD	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
23.	MAIZE	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24.	MENTHA OIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
25.	NATURAL GAS	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
26.	NICKEL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
27.	PEPPER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
28.	RAPEMUSTARD SEEDS	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
29.	RBDPMOLEIN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
30.	RUBBER	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
31.	SACK	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
32.	SILVER	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
33.	SOYABEAN	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
34.	SOY OIL	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
35.	STEEL	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
36.	SUGAR	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
37.	TURMERIC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
38.	WHEAT	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
39.	ZINC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

I also give my consent to upload the information to the respective commodity exchanges.

* **1) Farmers/FPOs** : It includes participants such as farmers, farmers' co-operatives, Farmers Producers Organisations (FPOs).
2) Value Chain Participants (VCPs) : It includes participants such as Processors, Commercial users as Dal and Flour Millers, Importers, Exporters, Physical Market Traders, Stockists, Cash & Carry participants, Producers, SMEs/MSMEs & Wholesalers etc., but exclude farmers/FPOs. **3) Proprietary Traders** : It includes the members of stock exchanges trading in their proprietary account.
4) Domestic Financial Institutional Investors: It includes participants such as Mutual Funds (MFs), Portfolio Managers, Alternative Investment Funds (AIFs), Banks, Insurance Companies and Pension Funds etc., which are allowed to trade in commodity derivatives.
5) Foreign Participants : It includes participants such as Eligible Foreign Entities (EFEs), NRIs etc. which are allowed to trade in commodity derivatives markets. **6) Others** : All other participants which cannot be classified in the above categories.



MFSS (MUTUAL FUND) FACILITY ACTIVATION

Date : _____

To
Peerless Securities Ltd.
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Dear Sir,

Sub : Mutual Fund Service System (MFSS) Facility

I/we _____ am/are registered as your client with Client Code No. _____ and have executed the Rights and Obligations of stock brokers sub-brokers and client for the purpose of trading in the Capital Market segment of National Stock Exchange of India Ltd. / BSE Limited.

I/we am/are interested in availing the facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with. For the purpose of availing the facility, I/we state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose and I/we further confirm that the details contained in same remain unchanged as on date.

I/we am/are willing to abide by the terms and conditions as mentioned in the SEBI circular no SEBI/IMD/CIR No. 11/ 183204/2009 dated November 13, 2009, Exchange circular no NSE/MFSS/003/2009 dated November 24, 2009 and any other related circulars issued from time to time by the Exchange, SEBI, AMFI and other regulators. I/We shall also ensure compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI).

I/we shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addendum 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 for using MFSS facility , rules and regulations of the Mutual Fund Schemes.

I/We therefore request you to register me/us as your client for participating in the _____
_____ (please specify MFSS / BSE Star MF).

I/We further request you to adjust / debit the MF purchase amount from my trading ledger.

Thanking You,

Yours faithfully,

✓ (18)

Signature of the Client

Details of terms & conditions for the Investor / Client for using New MFSS facility

1. Pre-requisites for becoming Investor/Client for the New MFSS facility

- 1.1. The Client who is desirous of investing in units of mutual fund schemes through the New MFSS.
- 1.2. The Client intends to execute his instruction for the subscription/redemption of units of Mutual Fund Schemes through the Participant of the New MFSS.
- 1.3. The Client has satisfied itself of the capacity of the Participant to deal in Mutual Fund units and wishes to execute its instruction through the Participant and the client shall from time to time continue to satisfy itself of such capability of the Participant before executing transaction through the Participant.
- 1.4. The Client has approached to the Participant with the application for availing the New MFSS facility.
- 1.5. The Client has submitted relevant KYC (Know Your Client) details to the Participants.

2. Terms and Conditions

- 2.1. The Client shall be bound by circulars issued by NSEIL, Rules, Regulations and circulars issued there under by SEBI and relevant notifications of Government authorities as may be in force from time to time.
- 2.2. The Client shall notify the Participant in writing if there is any change in the information in the client registration form' provided by the client to the Participant at the time registering as a client for participating in the New MFSS or at any time thereafter.
- 2.3. The Client shall submit to the Participant a completed application form in the manner prescribed format for the purpose of placing a subscription order with the Participant.
- 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 decisions and instruction.
- 2.6. The Client shall ensure continuous compliance with the requirements of the NSEIL, SEBI and AMFI.
- 2.7. The Client shall pay to the Participant the Advisory 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 renders to the Client. The same will be adjusted with trading ledger.
- 2.8. The Client will furnish information to the Participant in writing, if any winding up petition or insolvency petition has been filed or any winding up or insolvency order 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, the Client is not entitled to claim any compensation either from the Investor Protection Fund or from any fund of NSEIL or NSCCL.
- 2.10. In case of any dispute between the Participants and the investors arising out of the MFSS facility, NSEIL and /or NSCCL agrees to extend the necessary support for the speedy redressal of the disputes.

Signature ✓ 19 _____



Broker/Agent Code ARN:		SUB-BROKER:		EUIN:	
Unit Holder Information					
Name of the First Applicant :					
PAN Number :		KYC:		Date of Birth :	
Father Name :			Mother Name :		
Name of Guardian :			PAN :		
Contact Address :					
City :		Pincode :		State :	
Tel.(Off) :		Tel.(Res) :		Email :	
Fax (Off) :		Fax (Res) :		Mobile :	
Income Tax Slab/Networth :			Occupation Details		
Place of Birth :			Country of Tax Residence :		
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
Mode of Holding :			Occupation :		
Name of Second Applicant :					
PAN Number :		KYC:		Date of Birth :	
Income Tax Slab/Networth :			Occupation Details		
Place of Birth :			Country of Tax Residence :		
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
Name of Third Applicant :					
PAN Number :		KYC:		Date of Birth :	
Income Tax Slab/Networth :			Occupation Details		
Place of Birth :			Country of Tax Residence :		
Tax Id No. :					
Politically exposed person / Related to Politically exposed person etc.?				Yes	No
Other Details of Sole/ 1st Applicant					
Overseas Address :					
(In case of NRI investor)					
City :		Pincode :		Country :	
Bank Mandate Details					
Name of Bank :			Branch :		
A/C No. :		A/c Type :		IFSC Code:	
Bank Address :					
City :		Pincode :		State :	
Nomination Details					
Nominee Name :			Relationship :		
Guardian Name (If Nominee is Minor) :					
Nominee Address :					
City :		Pincode :		State :	
Declaration and Signature					
I/We confirm that details provided by me/us are true and correct. The ARN holder has disclosed to me/us all the commission (In the form of trail commission or any other mode), payable to him for the different competing Schemes of various Mutual Fund From amongst which the scheme is being recommended to me/us.					
Date :			Place :		
✓ (20)		✓		✓	
1st applicant Signature :		2nd applicant Signature :		3rd applicant Signature :	

DECLARATION/LETTER OF UNDERSTANDING

Date : _____

To
Peerless Securities Ltd. (PSL)
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Dear Sir,

1. I/We agree not to hold PSL liable or responsible for delay or default in performance of your obligations due to contingencies beyond your control such as fire, flood, civil commotion, earthquake, riots, war strikes, failure of systems, failure of internal links, government/regulatory actions or any other contingencies beyond your control.
2. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
3. All fines/penalties and charges levied upon PSL due to my acts/deeds or transactions may be recovered by PSL from my account.
4. Any queries related to my/our contract note shall be brought to the notice of PSL within 7 days of the receipt of the contract note.
5. I/We hereby authorize PSL not to provide me Order Confirmation/ Modification/ Cancellation slips and Trade Confirmation Slips to avoid unnecessary paper work. I/We hereby request PSL to kindly accept my/our verbal orders/ instructions over phone and execute the same. I/We understand the risk associated with placement of verbal orders and accept the same. In case I wish to withdraw this consent I shall inform PSL in writing and get the same acknowledged by PSL at least one week in advance from the date of withdrawal.
6. I/We will be extending all co-operation to PSL in their endeavour towards Anti Money Laundering. PSL may initiate any enquiry against me/us and/or my/our transactions any time without any legal implication whatsoever against them.
7. I/We understand that information about me/us and my/our transactions may be reported by PSL to FIU/concerned authorities without any intimation to me/us and have no objection to the same.
8. I/We undertake that if I/we fail to deliver any one or more securities to the pool account of PSL in respect of the securities sold by me/us before the pay-in date notified by the Exchange from time to time, such undischarged obligation in relation to delivering any one or more securities shall be deemed to have been closed out at the auction price or close-out price, as may be debited to PSL in respect of the security for the respective settlement, otherwise the close out price on the date of pay-out in respect of the relevant securities, declared by the Exchange. The loss, if any, on account of the close out shall be borne by me/us.
9. I agree to PSL tape-recording the conversation between me and PSL officers in its absolute discretion, whether personally or over the telephone. Such recordings may be relied upon by PSL as and when required and I agree not to challenge the evidentiary value of such recordings.
10. I hereby authorize PSL to debit my account with delayed payment charges, depository services charges, bank charges on account of dishonor of cheques, stop payment instruction charges, demand draft/ pay order/PGP charges. NEFT/ RTGS charges, call and trade charges, SMS charges, settlement/ professional charges (for as may be applicable to NRIs), research service/message fee, trading platform charges, application money and processing / advisory charges for mutual funds, initial public offerings/follow on public offerings, rights issue, fixed deposit(s), money market instruments etc. generally various investment avenues / products, processing fees/charges towards contract note/statement of account etc. and any other such or similar fees / charges as may become applicable from time to time.

Thanking you,

Yours truly,

✓ (21)

Signature of the Client

VOLUNTARY

Additional Mandatory clauses in terms of SEBI, RBI, NSE, BSE & CDSL Act, Rules, Regulations, Circulars & Guidelines and Prevention of Money Laundering Act, 2002.

1. CLIENT INFORMATION

In addition to the information given in the Client Registration Form and supporting documents / proof submitted, it is the responsibility of the Client to ensure that, any change in the Client Registration Form or information provided to PSL by the Client, is updated immediately, in writing, by providing the relevant proofs / documents.

Additionally, if any statutory authority seek information / documents about the Client, PSL shall provide the same with or without informing the Client. PSL, may from time to time, seek additional documents / information, to fulfil its regulatory responsibility and the Client shall provide the same immediately. Failure to provide such information may result in PSL taking appropriate action as it may deem fit.

In case the Client fails to update such change in the Client Registration Form information or fails to provide the information sought for by PSL, PSL, at its discretion, may decide on the appropriate course of action, including but not limited to refusal of further transactions of the Clients. The Client shall not hold PSL responsible for any consequential loss or damage and shall indemnify PSL from the same.

2. FUNDS / SECURITIES

PSL will receive funds / securities and / or disburse funds / securities only from / to the bank account / demat account given by the Client in the Client Registration. PSL reserves the right not to accept funds / securities from any other bank / demat account and also payments made through demand draft / pay order / cash. The Client shall not hold PSL responsible for any consequential loss and / or damage and / or claims and will indemnify PSL from such consequential claims and / or damage and / or loss.

Third Party Payments : PSL reserves the right not to accept payments from bank account not mentioned in the KYC/updated in the CLIENT DATABASE maintained with PSL. However, if, due to oversight PSL has accepted any such third party payments and credits for the same are given in the Client, PSL will reverse the credit immediately on discovering the same. Client shall not hold PSL responsible for any consequential loss or damage and shall indemnify PSL from the same.

Third Party Delivery of Securities : PSL reserves the right to accept deliveries only from such demat account where the Client is the sole / first holder and the same is mentioned in the KYC and / or updated in the Client database maintained with PSL. However, if, due to oversight, PSL has accepted any third party deliveries, the same shall be rectified in the manner deemed fit by PSL. The Client shall not hold PSL responsible for any consequential loss or damage and shall indemnify PSL from the same.

3. RISK PROFILING OF THE CLIENT

PSL will based on its risk management policy give exposure, equivalent to a pre-determined multiple / times of the net credit balance in the ledgers (across all segments), the value collaterals given by the Client (after applying appropriate hair cut), track record of the Client market conditions and / or regulatory directives and thus may vary from Client to Client. PSL reserves the right not to allow transactions in respect of certain Securities or Segments or orders / requests below and above certain value / quantity, as may be notified by PSL from time to time.

4. RISK MANAGEMENT POLICY

All the Client trades will be as per the Risk Management Policy, including but not limited to, exposure available to the Clients, collaterals accepted and its valuation after appropriate haircuts, square offs, applicable margins and payment of same, restriction in trading in certain stocks, etc. Summary of the risk management policy is enclosed along with this registration kit. The details in available in the Website.

I understand, accept and agree to comply with the above.

 22

Signature of the Client

ELECTRONIC PAY OUT REQUEST

Date : _____

To
Peerless Securities Ltd. (PSL)
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Dear Sir,

I/We furnish below the details of my Bank Account to enable the transfer of funds payable to me/us against sale of securities / Credit Balances in my account.

Bank : _____ Branch : _____

Type of Account : Savings Current NRE NRO Others (Specify) _____

A/c. No. : _____ MICR No. : _____

IFSC CODE(RTGS/NEFT) : _____

Copy of cheque must be enclosed.

Name of Joint Account Holder (if any) : _____

I/We hereby declare that the particulars mentioned above are correct, complete and true and I/we request PSL to transfer the funds against payments due to me into the above mentioned Bank Account until any other instruction is given by me/us. It is also agreed by me/us that the above facility is being provided to me/us by PSL at my request and it can be discontinued/withdrawn by PSL at its discretion at any point of time, as and when required without prior notice.

1. The transfer of funds to my/our bank account will continue to be governed by the terms and conditions as per my declaration to PSL.
2. I/We shall review, upon receipt, all transfers of funds made into the aforesaid bank account. In case fund payment is not received in my/our account on the scheduled date then I/We will notify the same to PSL within two days, failing which it shall be assumed that the funds have been credited to my account and PSL shall not be liable in any manner thereafter for the same.
3. If the transaction is delayed or not effected at all for incomplete or incorrect information provided by me/us, I/we would not hold PSL responsible and hereby indemnify PSL from any losses or damages there from.
4. All charges levied by Bank for the said facility shall be borne by me/us.
5. I/We hereby advised to keep these instructions in force unless specifically informed by me/us in writing.

Thanking you,

Yours truly,

✓ (23)

Signature of the Client

**CONSENT LETTER FOR RECEIVING ALERTS, TRADING /
RESEARCH CALLS, REPORTS, NEWS ETC. ON MOBILE**

Date : _____

To
Peerless Securities Ltd. (PSL)
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Dear Sir,

I do hereby declare that my Mobile Numbers are (1) _____
(2) _____. Further, I authorize PSL that the same may be used
for giving me any information / reports / news / live updates / alerts / sms / research calls.

Or

We, _____ do hereby declare that Mr. _____
having mobile number _____ is authorized on our behalf to
receive any information / reports / news / live updates / alerts / sms / research calls on our behalf.

I/We undertake to PSL and confirm to use my/our own judgement in taking a call and execute trade
in the identified securities according to my/our financial strength/capabilities and shall not hold PSL
responsible for any loss suffered by me/us on account of executing or omitting to execute any trades
in pursuance of the SMS alerts and/or investment advises sent by PSL. I/We further declare that the
above mentioned statement is true and correct.

Thanking you,

Yours truly,

✓(24)

Signature of the Client

CONSENT LETTER FOR EMAIL AND MOBILE ALERT FACILITIES

Dated : _____

To
Peerless Securities Ltd.
 1, Chowringhee Square
 2nd Floor
 Kolkata - 700 069

Sir,

This is with reference to my/our trading account opened with you; I/we request you arrange facility of receiving email and/or mobile alert facility issued by Exchange in compliance with regulation and guidelines issued by concerned authorities from time to time.

Email Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>	
Email ID	(1)	(2)
Owned by - Name		
- PAN*		
Relationship with Client		
Signature of the Client	✓(25)	
SMS Facility	Service Required - YES <input type="checkbox"/> NO <input type="checkbox"/>	
Mobile Number	(1)	(2)
Owned by - Name		
- PAN*		
Relationship with Client		
Signature of the Client	✓(26)	

* Please specify the Name and PAN detail in case email id and/or Mobile Number is other than that of the client.

In this regards we state the following :

1. This is to further confirm that it will be my/our responsibility that my/our Email ID and/or Mobile Number are active and the relevant Inbox is not full. Further, the trading member will not be held liable for the mails and / or SMS alert not received.
2. I/we undertake that any change in my/our Email ID and/or Mobile Number shall be communicated to you in writing through a physical letter.
3. I/we agree that this authority shall be valid, until it is revoked by me/us at any time by giving a written notice to **Peerless Securities Ltd.**

✓(27)

 Signature of Client

VOLUNTARY

Authority Letter in favour of an Authorised Representative

Relationship of Account holder with the proposed authorised representative/mandate holder :

_____ (mention on Blood relation/Relative/Friend)

I/we, maintaining a broking account with Peerless Securities Ltd. (PSL) hereby authorise _____
aged _____ years, S/o./ Spouse of _____
and having office / residence address at _____
_____ to
operate my / our broking account.

My/our relationship with the above mentioned authorised representative is personal / professional. PSL is authorised to accept orders for execution and instructions towards settlement of funds & securities, oral or in writing, in my/our account from the above mentioned authorised representative. I/We agree to honour all obligations arising out of such orders and instructions from the representative including any penal charges or dues consequent to any actions of the representative in the course of operating the broking account. I/We hereby accept that confirmation by PSL to the representative including delivery of contract notes, bills, ledgers and other general information necessitated in carrying out operations in the trading account shall be treated as effective and valid discharge of PSL's obligation to keep me/us posted on the transactions and operations in the trading account. I/We further state that this authorisation is given by me/us purely out of our choice of convenience. I/We shall not make any claim whatsoever upon PSL for PSL standing guided by this authorisation in favour of the above mentioned representative.

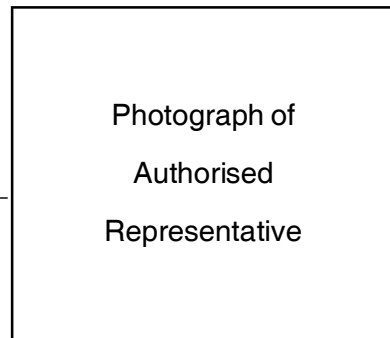
This Authorization remains in force till cancellation of the same by me or by "Authorised Person" whichever is earlier & Intimation of the same in writing to PSL at its registered office address.

Photograph of authorised representative

✓ 28

Signature of the Client

Mobile No. of Authorised Representative _____



I accept the mandate

Place _____

Date _____

(Signature of authorised representative)

Encl. :

1. PAN Card
2. Address proof - (Aadhar Card / Driving Licence / Voter Card / Passport)

Voluntary information provided by the client in relation to the Prevention of Money Laundering Act, 2002

Name of the Client : _____

If Business / Profession : Nature of business : _____

Industry : _____

Details of my/our Relatives, having account with **Peerless Securities Ltd.** :

Name	Relationship	UCC (Client Code)
1.		
2.		
3.		
4.		

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

Name	Entity Type	Nature of Business	Relationship	UCC (Client Code)
1.				
2.				
3.				
4.				

I/We hereby submit and agree to submit every year following documents to **Peerless Securities Ltd.**, before the due date as prescribed by **Peerless Securities Ltd.** :

1. Profit and Loss Account & Capital Account
2. Balance Sheet
3. Self attested copy of Income Tax Return (If return not available, I/we will furnish Form 16)
4. Copy of Form 16 in case of Salary Income
5. Any other document providing financial details of the client

I/We confirm that I/We will immediately inform **Peerless Securities Ltd.** in case I/We am/are convicted under any grounds or any action is taken against me/us by any authority(ies).

I/We intend to invest in the stock market with : Own Funds Borrowed Funds
(If Borrowed Funds, then please specify below Sources of funds :)

Sources of Borrowed Funds (if any)	Amount (₹)

(Certificated / Opinion Report from the Banker / Financial Institution confirming that there has been no default in the client's account is to be attached, which I/We agree to attach herewith.)

I/We hereby declare that I/We am/are beneficial owner of the Trading / On-line account opened with **Peerless Securities Ltd.**, and that I/We am/are investing my/our own funds with **Peerless Securities Ltd.**

✓⁽²⁹⁾ _____ Client's Name
Client Signature

For Office use only :

Risk categorisation of client as per PMLA, 2002 :

High Risk Medium Risk Low Risk

Verified by : _____

Authorised & Approved by : _____

Additional KYC Information & FATCA-CRS Declaration - *Individuals*

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

PAN*	UCC*	Client ID *	
Name			Gender <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> O
Type of address given at KYC KRA	<input type="checkbox"/> Residential	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Business
Place of Birth			
Country of Birth			
Nationality			
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> 5 - 10 Lacs	<input type="checkbox"/> 25 Lacs - 1 Crore
	<input type="checkbox"/> 1 - 5 Lacs	<input type="checkbox"/> 10 - 25 Lacs	<input type="checkbox"/> > 1 Crore
			Net Worth in INR. In Lakhs ₹. _____
			Net Worth as on <input type="text"/> D <input type="text"/> D <input type="text"/> M <input type="text"/> M <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y <input type="text"/> Y

(Date should not be older than one year)

Occupation Details	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Housewife	<input type="checkbox"/> Retired	Others [Please specify]
	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Student	<input type="checkbox"/> Forex Dealer	

Politically Exposed Person [PEP] Yes Related to PEP Not Applicable

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

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

Country [#]	Tax Identification Number*	Identification Type <i>(TIN or Other, please specify)</i>

[#]To also include USA, where the individual is a citizen / green card holder of The USA
^{*}In case Tax Identification Number is not available, kindly provide its functional equivalent \$

<p style="text-align: center;">Certification</p> <p>I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.</p>	<p style="text-align: center;">Signature</p> <div style="border: 1px solid black; height: 40px; margin-bottom: 5px;"></div> <p style="text-align: center;">✓ (30)</p> <p>Date <input type="text"/> d <input type="text"/> d <input type="text"/> m <input type="text"/> m <input type="text"/> y <input type="text"/> y <input type="text"/> y <input type="text"/> y</p> <p>Place <input style="width: 100%;" type="text"/></p>
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Please submit the form duly filled, signed, for all the holders, separately, and submit at your nearest Peerless Securities Ltd branch or you can dispatch the hard copy to -

**Peerless Securities Ltd.,
1 Chowringhee Square, 2nd Floor
Kolkata - 700069 | India**

FATCA & CRS Terms & Conditions

Details under FATCA & CRS: The Central Board of Direct Taxes has notified Rules 114F to 114H, as part of the Income-tax 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 institutions such as withholding agents for the purpose of ensuring appropriate withholding from the account or any proceeds in relation thereto. Should there be any change in any information provided by you, please ensure you advise us promptly, i.e., within 30 days.

It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

Additional KYC Information & FATCA-CRS Declaration - *Individuals*

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

PAN*	UCC*	Client ID *	
Name			Gender <input type="checkbox"/> M <input type="checkbox"/> F <input type="checkbox"/> O
Type of address given at KYC KRA	<input type="checkbox"/> Residential	<input type="checkbox"/> Residential or Business	<input type="checkbox"/> Business
Place of Birth			
Country of Birth			
Nationality			
Gross Annual Income Details in INR	<input type="checkbox"/> Below 1 Lakh	<input type="checkbox"/> 5 - 10 Lacs	<input type="checkbox"/> 25 Lacs - 1 Crore
	<input type="checkbox"/> 1 - 5 Lacs	<input type="checkbox"/> 10 - 25 Lacs	<input type="checkbox"/> > 1 Crore
			Net Worth in INR. In Lakhs
			₹. _____
			Net Worth as on <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/>

(Date should not be older than one year)

Occupation Details	<input type="checkbox"/> Business	<input type="checkbox"/> Professional	<input type="checkbox"/> Public Sector	<input type="checkbox"/> Housewife	<input type="checkbox"/> Retired	Others [Please specify]
	<input type="checkbox"/> Private Sector	<input type="checkbox"/> Government Service	<input type="checkbox"/> Agriculturist	<input type="checkbox"/> Student	<input type="checkbox"/> Forex Dealer	

Politically Exposed Person [PEP] Yes Related to PEP Not Applicable

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

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

Country [#]	Tax Identification Number*	Identification Type <small>(TIN or Other, please specify)</small>

[#]To also include USA, where the individual is a citizen / green card holder of The USA
^{*}In case Tax Identification Number is not available, kindly provide its functional equivalent \$

<p style="text-align: center;">Certification</p> <p>I / We have understood the information requirements of this Form (read along with the FATCA & CRS Instructions) and hereby confirm that the information provided by me/us on this Form is true, correct, and complete. I / We also confirm that I / We have read and understood the FATCA & CRS Terms and Conditions below and hereby accept the same.</p>	<p style="text-align: center;">Signature</p> <div style="border: 1px solid black; padding: 5px; text-align: center;"> </div> <p>Date <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/></p> <p>Place <input style="width: 100%;" type="text"/></p>
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Please submit the form duly filled, signed, for all the holders, separately, and submit at your nearest Peerless Securities Ltd branch or you can dispatch the hard copy to -

**Peerless Securities Ltd.,
 1 Chowringhee Square, 2nd Floor
 Kolkata - 700069 | India**

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It is important that you respond to our request, even if you believe you have already supplied any previously requested information.

ANTI-MONEY LAUNDERING (AML) – COMBATING FINANCING OF TERRORISM (CFT) WHAT YOU MUST KNOW – FAQs

Help us in preventing money laundering / terrorist financing.....Your assistance really matters us.

Ever wondered why the Broker is asking you certain personal information which has hitherto never been called for? Such information can include documents evidencing source of funds / income tax returns / bank records etc. By providing this information to the Broker, at the time of account opening and subsequently as and when required, you are actually assisting the efforts in prevention of money laundering / terrorist financing. Here are the details, presented in the form of frequently asked questions (FAQs) to let you know how.

What is Money Laundering?

Money Laundering is the process by which criminals attempt to hide and disguise the true origin and ownership of the proceeds of their criminal activities, thereby avoiding prosecution, conviction and confiscation of the criminal funds. The term Money Laundering is also used when the funds are used for terrorist financing, though the origin of the funds may be legitimate.

Money Laundering has acquired a global character that not only threatens security, but also compromises the stability, transparency, and efficiency of financial systems. Money-laundering techniques are becoming more sophisticated and complex with each passing day.

The objective of AML & CFT Program is to prevent financial intermediaries from being used as a tool for the purpose of Money Laundering & terrorist financing and to preserve the integrity of the Financial system.

In response to mounting concern over money laundering, the Financial Action Task Force on money laundering (FATF) was established by the G-7 Summit in Paris in 1989 to develop a co-ordinated international response. One of the first tasks of the FATF was to develop Recommendations, 40 in all, which set out the measures national governments should take to implement effective anti-money laundering programmes.

How much money is laundered per year?

The IMF has stated in 1996 that the aggregate size of money laundering in the world could be somewhere between two and five percent of the world's gross domestic product.

Using 1996 statistics, these percentages would indicate that money laundering ranged between USD 590 billion and USD 1.5 trillion. However it must be said that overall it is absolutely impossible to produce a reliable estimate of the amount of money laundered and therefore the FATF does not publish any figures in this regard.

How is money laundered?

In the initial - or placement - stage of money laundering, the launderer introduces his illegal profits into the financial system. This might be done by breaking up large amounts of cash into less conspicuous smaller sums that are then deposited directly into a bank account, or by purchasing a series of monetary instruments (cheques, money orders, etc.) that are then collected and deposited into accounts at another location.

After the funds have entered the financial system, the second – or layering – stage takes place. In this phase, the launderer engages in a series of conversions or movements of the funds to distance them from their source. The funds might be channelled through the purchase and sales of investment instruments, or the launderer might simply wire the funds through a series of accounts at various banks across the globe. This use of widely scattered accounts for laundering is especially prevalent in those jurisdictions that do not co-operate in anti-money laundering investigations. In some instances, the launderer might disguise the transfers as payments for goods or services, thus giving them a legitimate appearance.

Having successfully processed his criminal profits through the first two phases the launderer then moves them to the third stage – integration – in which the funds re-enter the legitimate economy. The launderer might choose to invest the funds into real estate, luxury assets, or business ventures.

Where does money laundering occur?

Money laundering can occur practically anywhere in the world. Generally, money launderers tend to seek out countries or sectors in which there is a low risk of detection due to weak or ineffective anti-money laundering programmes.

How does money laundering affect business, economic development & society at large?

Money laundering damages the integrity of the financial institution, entire society and undermines democracy and the rule of the law as it rewards corruption and crime.

There is a damping effect on foreign direct investment when a country's commercial and financial sectors are perceived to be subject to the control and influence of organised crime. Fighting money laundering and terrorist financing is therefore a part of creating a business friendly environment which is a precondition for lasting economic development.

The possible social and political costs of money laundering, if left unchecked or dealt with ineffectively, are serious. Organised crime can infiltrate financial institutions, acquire control of large sectors of the economy through investment, or offer bribes to public officials and indeed governments.

The economic and political influence of criminal organisations can weaken the social fabric, collective ethical standards, and ultimately the democratic institutions of society.

How does fighting money laundering help fight crime?

Targeting the money laundering aspect of criminal activity and depriving the criminal of his ill-gotten gains means hitting him where he is vulnerable. Without a usable profit, the criminal activity will not continue.

What should individual governments be doing about it?

A great deal can be done to fight money laundering, and, indeed, many governments have already established comprehensive anti-money laundering regimes. These regimes aim to increase awareness of the phenomenon – both within the government and the private business sector – and then to provide the necessary legal or regulatory tools to the authorities charged with combating the problem.

Some of these tools include making the act of money laundering a crime; giving investigative agencies the authority to trace, seize and ultimately confiscate criminally derived assets; and building the necessary framework for permitting the agencies involved to exchange information among themselves and with counterparts in other countries.

What are Local regulations on AML / CFT?

- a) Prevention of Money Laundering Act, 2002 (PMLA) came in to force with effect from July 01, 2005 read with the prevention of Money Laundering (Amendment) Act, 2009.
- b) SEBI Guidelines on PMLA vide circular issued in January 2006 followed by latest Master circular issued in February 2010.
- c) Exchanges have also issued Guidelines on PMLA to be followed by all registered intermediary.

How is Money Laundering defined under PMLA 2002?

Section 3 of the Prevention of Money Laundering Act (PMLA) 2002 defines the “Offence of Money Laundering” as:

“Whosoever directly or indirectly attempts to indulge or knowingly assists or knowingly is party or is actually involved in any process or activity connected with the **proceeds of crime** and projecting it as untainted property shall be guilty of the offence of money laundering.”

“**Proceeds of crime**” has been defined in Section 2 of the PMLA as the property derived or obtained directly or indirectly by any person, as a result of criminal activity relating to a scheduled offence or the value of such property.

“**Scheduled Offences**”, as per section 2 of PMLA, are specified in two parts of the schedule to PMLA. The value involved in offences specified in Part B should be Rs.30 lakhs or more.

Why KYC / AML Policy for Market Intermediary?

SEBI has instructed all Market Intermediary to adopt a KYC / AML Policy

- a) To prevent criminal elements from using the Capital Market for money laundering activities.
- b) To enable the Broker to know / understand the customers and their financial dealings better, which in turn would help the Broker to manage risks prudently.
- c) To put in place appropriate controls for detection and reporting of suspicious activities in accordance with applicable laws / laid down procedures.
- d) To comply with applicable laws and regulatory guidelines.
- e) To take necessary steps to ensure that the concerned staff is adequately trained in KYC / AML procedures.

What are the obligations of Market Intermediary under PMLA 2002?

Section 12 of PML Act 2002, places certain obligations on every banking company, financial institution and market intermediary, which include:

- a) Maintaining a record of prescribed transactions.
- b) Furnishing information of prescribed transactions to the specified authority (Financial Intelligence Unit-India (FIU-IND)).
- c) Verifying and maintaining records of the identity of its clients.
- d) Preserving records in respect of a,b,c above, for a period of 10 years from the date of cessation of transactions with the clients.

What is Financial Intelligence Unit-India (FIU-IND)?

FIU-IND is a central, national agency, set up by Government of India on 18th November,2004, responsible for receiving (and as permitted, requesting), analyzing and disseminating to the competent authorities, disclosures of financial information (i) Concerning suspected proceeds of crime and potential financing of terrorism, or (ii) Required by national legislation or regulation, in order to combat money laundering and terrorist financing.

What are the transactions to be reported by Market Intermediary to FIU-IND?

- a) All cash transactions of the value of more than Rs.10 lakhs or its equivalent in foreign currency.
- b) All series of cash transactions integrally connected to each other, which have been valued below Rs.10 lakhs or its equivalent in foreign currency (excluding individual transactions below Rs.50,000/- in the reporting) where such series of transactions have taken place within a month and the aggregate value of such transactions exceeds Rs.10 lakhs.
- c) Counterfeit currency transactions.
- d) Suspicious transactions.

What are suspicious transactions?

Rule 2(1)(g) of PMLA-2002 defines suspicious transactions as:

A transaction whether or not made in cash which, to a person acting in good faith :

- (a) gives rise to a reasonable ground of suspicion that it may involve the proceeds of crime; or
- (b) appears to be made in circumstances of unusual or unjustified complexity; or
- (c) appears to have no economic rationale or bonafide purpose; or
- (d) gives rise to a reasonable ground of suspicion that it may involve financing of activities relating to terrorism.

POLICY / DECLARATION ON AML / CFL

Sl.No.	AML Measures	Particulars
1	AML Policy	We have in place written policy & procedure as per guidelines issued by SEBI / Exchange
2	Know Your Customer (KYC)	We have in place system for identification of our clients including KYC documentation.
3	Maintenance of Records	We update the client profile on a regular basis.
4	Screening against negative lists	We have in place record maintenance and retention procedures as prescribed. We screen the client database to ensure that it is not held by or linked to anyone included in the specified list.
5	Risk Assessment	We have in place system to place clients into high, medium & low risk category and apply enhanced due diligence for clients that pose a higher risk.
6	Clients of Special Category	We have in place policy to place clients of special category such as persons with political link, non residents, Trusts, NGOs, closely held Companies, etc. in high risk category.
7	Monitoring, Identification & Reporting of Suspicious Transactions	We have in place, systems and procedures for monitoring, detection and reporting of suspicious transactions to the relevant authorities.
8	Audit	We are subject to inspection by SEBI/Exchange. Additionally we are periodically audited by an independent internal auditor that assesses AML policies and procedures too.

POWER OF ATTORNEY (Voluntary & Revocable)

This Power of Attorney (POA) is made on this _____ day of _____ by

Name

Address

1. _____
2. _____
3. _____

hereunder referred to as Principal/s), in favour of Peerless Securities Ltd., incorporated under the Companies Act, 1956 and having its Regd. Office situated at 1, Chowringhee Square, Kolkata - 700 069, and acting through any of its Directors and/or officers duly authorized by it's Board of Directors for the purpose.

Whereas I/we am/are engaged in buying and selling of securities through Peerless Securities Ltd. (PSL), a member of National Stock Exchange of India Ltd. and BSE Limited (bearing SEBI Single Regn. No. INZ000263738) (hereinafter referred to as 'Exchange/s).

And whereas PSL is a Depository Participant with National Securities Depository Ltd. bearing Depository Participant ID No. IN300958.

And whereas the Client (first named Principal) wishes to avail and/or have availed the services offered by PSL in their capacity as a member of the Exchange/s has entered into a member client agreement/s with PSL for transacting in securities on the Exchange/s in accordance with the provisions of the said agreement/s read with the terms and conditions (Terms) voluntarily agreed with PSL and for facilitating proper execution of the transactions contemplated in the said agreement/s and the terms, intends to confer on PSL the authorities and power specified in this Power of Attorney along with the other Principal/s as under.

1. To operate my/our Beneficiary Account bearing number _____ with PSL to debit towards my/our settlement obligations and to transfer the shares either to the Exchanges/s or the Clearing Corporation and to initiate/release/invoke margin pledge on the securities/units in favour of Peerless Securities Ltd to meet my/our Margin obligation in respect of my/our transactions on any recognized stock exchanges and to further give my/our consent to re-pledge the same securities in favour of the Clearing Corporation/Clearing Member.”

Demat Account No. Purpose/Nature

10001074	NSE pool Account
10085228	BSE Pool Account
10297849	TM- Client Securities Margin Pledge Account
10297832	TM CM- Client Securities Margin Pledge Account
10297824	TM- Client Securities Under Margin Funding Account
10298139	TM- Client Securities Under Margin Funding Account

2. To make application and/or issue instructions for creation/invoke/closure of lien and/or pledge on the securities / units in the above Beneficiary Account of the Principal/s with PSL on my/our behalf towards margin/settlement obligations in respect of my/our transactions on the Exchanges through PSL.
3. To register this Power of Attorney in the PSL's Depository system with PSL.
4. Pursuant to my transactions executed by me through PSL, to show the details or copy of this Power of Attorney with any authorities who are statutorily empowered to seek such information from PSL.
5. To arrange to return to me / us securities that may have been received by PSL erroneously and/or those securities which PSL was not entitled to receive from me / us.
6. I/we authorize PSL to send consolidated summary of Client's scrip-wise buy and sell positions taken with average rates to the client by way of SMS/E-mail on a daily basis, provided client has registered his mobile phone number/e-mail id with PSL, notwithstanding any other document to be disseminated as specified by SEBI from time to time.

7. Pursuant to my/our instruction or instruction of my/our Authorised Representative to do all such acts and things as may be necessary to effect the subscription / purchase / redemption, tendering shares in open offer / Buy-back / Delisting or any other transaction for mutual funds / online Mutual Fund or otherwise of initial public offer / follow on public offer / right issue / or any other like issues and/or investment product for which services are availed from PSL
8. In case of mutual fund units wrongly / erroneously subscribed and delivered in my/our account, PSL is authorised to automatically transfer the units in their pool / beneficiary / other account without my/our consent.

The Power of Attorney can be revoked by the Client / Principal/s immediately by furnishing a written request to the Corporate Office of PSL duly acknowledged by PSL and upon fulfillment of client's obligations pertaining to unsettled transactions and outstanding dues payable to PSL as per the terms of the services availed by the Client.

All such acts done by PSL shall be deemed to be acts done by on our behalf and if necessary shall be ratified by us on the instructions of PSL.

Any dispute arising out of the operations of the Power of Attorney shall be settled as per the bye laws of the concerned Depository/relevant Court/forums in Kolkata.

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

In WITNESS WHEREOF, I/we hereunto set and subscribed our respective hands on the day, date and year hereinabove mentioned.

	Name	Signature
Sole/First Holder		✓(32)
Second Holder		✓
Third Holder		✓

Name	Signature
Peerless Securities Ltd.	For Peerless Securities Ltd.
	Authorised Signatory

Witness	
Name of witness	
Address of witness	
Signature of witness	

Trading Declaration (To be signed by the client)

Date : _____

To
Peerless Securities Ltd.
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Dear Sir,

Sub : Trading Declaration for activation of Equity Derivatives and/or Currency Derivatives

I, _____ s/o or w/o or d/o _____
age _____ years, am willing to activate the Equity Derivatives / Currency Derivatives segment in
my trading account with you and I have submitted an account opening form for the same.

In this regard I submit the following information:

1. **Financial Details** : Annual Income : Rs. _____ Total Net-Worth : Rs. _____
2. **Investment Objective** : Short Term Medium Term Long Term
3. **Risk Appetite** : Low Medium High
4. **Whether dealt / experienced in Equity Derivative in the past :**
 YES, Name of the Broker _____ Years of Experience _____
 NO, Reason to start Trading _____

Signature of the Client ✓ ³³ _____

5. **Whether dealt / experienced in Currency Derivative in the past**

- YES, Name of the Broker _____ Years of Experience _____
 NO, Reason to start Trading _____

Signature of the Client ✓ ³⁴ _____

I am well aware of the risk exposure and the pattern that is involved in Equity & Derivatives trading and I am ready to carry the same at my own risk. Having understood that investment in securities and particularly in Derivatives segment involves unlimited risk including risk of leveraging and unlimited loss etc., I am declaring that I am well informed of the pattern/risk/ consequences involved in Equity & Derivatives trading. I am willing to activate the Derivative Segment/s in my Trading Account at my own risk and consequences.

Thanking you,

Yours truly,

✓ ³⁵ _____
Signature of the Client

Client's Name : _____

PAN _____

Dated : _____

From :

To

Peerless Securities Ltd.
1, Chowringhee Square
2nd Floor
Kolkata - 700 069

Ref. : Acknowledgement for the receipt of documents

Dear Sir,

This is to acknowledge the receipt of a copy of the duly executed following documents viz.,

1. Copy of KYC Form
2. Copy of Rights and Obligations of stock broker, sub-broker and client
3. Copy of Risk Disclosure Document
4. Copy of Guidance Note
5. Copy of Policies & Procedures
6. Copy of Tariff / Brokerage Charge Sheet
7. A copy of any other document executed by me as a client

I/we hereby declare that I/we have the full intimation of the trading code and the unique client code allotted to me/us and the email id for the purpose of receiving electronic contract notes and other details in case provided by me/us, has been confirmed by **Peerless Securities Ltd.** through their KYC.

Thanking you,

Yours truly,

✓⁽³⁶⁾

Signature of the Client

Client Code _____

Application Form for Mutual Fund
[For Investment through BSE StarMF Platform]



Sole/First Applicant Name _____
PAN _____ UCC _____

Investment Details

1. Scheme _____
Option _____ Sub- Option _____ Folio _____ Amount _____
Amount (in words) _____ SIP () Lumpsum()
SIP Date _____ SIP from _____ SIP to _____ Or Perpetual()

2. Scheme _____
Option _____ Sub- Option _____ Folio _____ Amount _____
Amount (in words) _____ SIP () Lumpsum()
SIP Date _____ SIP from _____ SIP to _____ Or Perpetual()

3. Scheme _____
Option _____ Sub- Option _____ Folio _____ Amount _____
Amount (in words) _____ SIP () Lumpsum()
SIP Date _____ SIP from _____ SIP to _____ Or Perpetual()

4. Scheme _____
Option _____ Sub- Option _____ Folio _____ Amount _____
Amount (in words) _____ SIP () Lumpsum()
SIP Date _____ SIP from _____ SIP to _____ Or Perpetual()

5. Scheme _____
Option _____ Sub- Option _____ Folio _____ Amount _____
Amount (in words) _____ SIP () Lumpsum()
SIP Date _____ SIP from _____ SIP to _____ Or Perpetual()

6. Scheme _____
Option _____ Sub- Option _____ Folio _____ Amount _____
Amount (in words) _____ SIP () Lumpsum()
SIP Date _____ SIP from _____ SIP to _____ Or Perpetual()

Payment Details

Bank Name _____ Branch _____
A/C No. _____
Cheque/ DD No. _____ Date _____ Amount _____

(Note: Cheque should be drawn in favour of **Indian Clearing Corporation Limited** for amount of application made altogether)

I/We hereby, authorise Peerless Securities Limited, to transact on my/our behalf on the aforesaid Mutual Fund Scheme and clear the transaction amount for settlement.

37

Signature
(1st Applicant / Guardian / Authorised Signatory)

Signature
(2nd Applicant / Authorised Signatory)

Signature
(3rd Applicant / Authorised Signatory)

Sourcing Employee Details

Employee Name _____ Branch _____ Emp. Code _____

Voluntary Document

MARGIN TRADING AGREEMENT

This Agreement (hereinafter referred to as "**Agreement** ") is entered into on this _____ day of _____ 20____, by and between **Peerless Securities Limited.**, a Company incorporated under the Companies Act, 1956, having its Registered Office at 1, Chowringhee Square, 2nd Floor, Kolkata - 700 069 and having one of its Branch Office at _____

_____ (hereinafter referred to as "**the broker**", which expression shall, unless repugnant to the meaning or context thereof, be deemed to mean and include its successors and assigns) of the One Part;

And

M/s/Mr/Mrs/Ms _____, Unique Client Code being _____, whose details are as below _____

_____ (hereinafter referred to as the "**Client**" which expression shall, unless repugnant to the context or meaning thereof be deemed to include his/her/its heirs and/or legal representatives and/or successors and/or executors and/or permitted assignees and/or administrators and/or successors in business) of the Other Part

WHEREAS:

- (a) **The broker** is engaged, inter alias, in the business of stock broking and is a Trading Member of National Stock Exchange of India Ltd. & Bombay Stock Exchange Ltd., with SEBI registration Number INZ000263738.
- (b) The broker is engaged in providing margin Trading Facility (hereinafter referred to as MTF), as described hereinafter, to those clients who are registered with it as client for availing Stock Broking Services and have also entered into an agreement for availing of the Margin Trading Facility.

Client Signature _____

- (c) The Client is registered with the broker as a client for stock broking services and is desirous of availing Margin Trading Facility, and has approached the broker with that request.
- (d) Upon the request of the Client, the broker has agreed to provide the said facility to the client subject to the terms and conditions contained in this Agreement

NOW THIS AGREEMENT WITNESSETH AND IT IS HEREBY AGREED BY AND BETWEEN PEERLESS SECURITIES LTD. AND CLIENT AS UNDER:

I. DEFINITIONS & INTERPRETATIONS

1. **“Initial margin”** would mean the minimum amount, calculated as a percentage of the transaction value, to be placed by the client, with the broker, before the actual purchase. The broker will advance the balance amount to meet full settlement obligations.
2. **“Maintenance margin”** would mean the minimum amount, calculated as a percentage of the market value of the securities, calculated with respect to the last trading day’s closing price, to be maintained by the client with the broker.
3. **“Margin Trading Facility” or MTF** means and refers to the facility pursuant to which part of the transaction value due to the Stock Exchange, at the time of purchase of Shares, shall be paid by the broker on behalf of the Client, on Client’s request, on such terms and conditions as contained in this Agreement.
4. **“Mark to Market Loss” or “MTM Loss”** means the difference between the purchase value of the shares and the marked to market value of these shares.
5. **“Mark to Market Value of shares” or “MTM Value of Shares”** means the value of shares calculated with reference to the previous day’s closing price on the Stock Exchange.
6. **“Share/s”** means and refer to the shares / stock / securities eligible for margin trading facility, as specified by the SEBI from time to time and approved by the broker for the purpose of granting MTF.
7. **“Stock Exchange”** means the stock exchange on which the shares has been purchased

Unless the Context otherwise requires:

1. The expression month and year shall be to the calendar month or calendar year.
2. Reference to date or dates which do not fall on a working day, shall be construed as reference to the day or date falling on the immediately subsequent Working day

II. CLIENT REPRESENTATION

The Client hereby undertakes to:

1. Place the initial and maintenance margin amounts as the Broker may specify to the Client from time to time, subject to requirements specified by Regulatory Authority / SEBI.
2. Authorize retention of the shares with the broker upon the receipt of the same in the pay out from the Stock exchange till the amount due in respect of the said transaction including the dues to the broker is paid in full by the client.
3. Pay to the broker - brokerage, commission, fees, transaction costs, GST, stamp duty and other taxes / expenses as are prevailing from time to time and as they apply to the Client’s account, transactions and to the Services that the broker renders to the Client.
4. Abide by any revision in any of the terms of this agreement as may be agreed between the parties.

Client Signature _____

III. CLIENT'S WARRANTIES

The Client warrants, represents and assures the broker that:

1. He has the necessary authority to enter into this Agreement and observe and perform the obligations herein contained.
2. He shall duly observe and perform the conditions and obligations stated herein.

IV. BROKER'S REPRESENTATION

The broker represents that:

On entering into this agreement and deposit of initial margin by the client, the broker undertakes to settle the obligation towards the Stock Exchange for and on behalf of the Client. The Client hereby agrees and authorizes the broker to make such payment on his behalf.

V. MARGIN TRADING FACILITY

1. The margin trading facility shall carry interest at _____% plus applicable taxes, if any, per annum payable _____.
2. The Client shall be free to take the delivery of the Share at any time by repaying the amounts that was paid by the broker to the Stock Exchange towards Shares, including the other charges and interests (if any) due at that point of time and further paying all such sums of money as may be due towards brokerage, transaction costs and charges, GST and other costs towards his transactions. Alternatively, Client may at any time, but not before the delivery of the Shares has been actually received by the broker, choose to sell the Shares on the Stock Exchange by issuing appropriate instructions to the broker
3. Provided however that, the Client may at his risk as to cost and consequences, choose to sell the Shares prior to receipt of confirmation from the Stock Exchange of delivery of Securities against his Purchase, and in such situation, the Client shall be fully responsible to bear the losses / costs arising due to auctions / closeout by the Stock Exchange, in the event the delivery against purchase fails to materialize.
4. Where the Shares are sold as provided in sub-clause 2/3 above, the broker will effect the pay-in of Shares to the Stock Exchange in accordance with the Stock Exchange requirements. Upon receipt of sale proceeds from the Stock Exchange towards the sale of Shares, the broker shall deduct the brokerage, fees, charges, levies, taxes, duties and other costs, charges and expenses, from the Client on account of moneys paid by the broker on his behalf to the Stock Exchange at the time of purchase of Shares, effect the net payment to the Client.
5. The broker may, at its sole and absolute discretion, revise the limit of initial and/or maintenance margin amount from time to time. The Client agrees and undertakes to abide by such revision, and where there is an upward revision of such margin amount, he agrees to make up the shortfall within such time as the broker may permit, failing which the Client shall be deemed to be in breach of this Agreement.
6. The MTF shall be provided only in respect of such Shares as may be decided by the broker from time to time.
7. The Client may furnish further Margin Amount from time to time for availing higher MTF Limit.

VI. MONITORING CLIENT'S POSITIONS

1. The broker shall monitor and review on a continuous basis the client's positions with regard to the margin trading facility.
2. The broker shall make a 'margin call' requiring the client to place such Margin Amount as may be specified by the broker with a view to make up for the MTM Loss, If any, in accordance with SEBI requirements.
3. On receipt of 'margin call' intimation from the broker, the Client shall make good such deficiency by placing the further Margin Amount, within such time as is specified by SEBI, failing which the Client shall be deemed to be in breach of this Agreement.

Client Signature_____

4. Notwithstanding what is stated above, the broker may immediately sell the Shares, in the circumstances specified by SEBI and for this purpose, the Client do hereby expressly authorize such sale, and thereafter, the sale proceeds shall be treated in the manner specified in Clause V.4 above. The broker may, in its sole discretion, determine which Shares is/are to be sold, and / or which contract(s) is/are to be closed.
5. The Client agrees and understands that the broker shall have full freedom and authority to vary, modify, revise the initial and maintenance margin amount, minimum transaction amount from time to time, subject to the SEBI requirements in this respect, and Client agrees to abide by such variation, modification or revision.

VII. PLEDGE OF SECURITIES

Notwithstanding anything contained in this Agreement, the Client hereby pledges and shall have deemed to have pledged forthwith the Shares, at the time when received by the broker, as security for repayment and settlement of amounts due to the broker from the Client under Margin Trading Facility along with interest and other amounts payable there under. The Client hereby records that the share certificates account statements or any other documents evidencing the right, title and interest of the Client as the holder of the Securities shall remain deposited and shall be deemed to have been deposited by the Client as having been deposited being marketable securities, for repayment of the amounts due under the Margin Trading Facility and this instrument accordingly shall be deemed to be connected with the mortgage of the marketable securities / Shares as contemplated by Section 24 of the Bombay Stamp Act, 1958/Section 23A of the Indian Stamp Act, 1899 or the corresponding/relevant provisions of the Stamp Act as in force in the relevant state.

VIII. BREACH OF THIS AGREEMENT

In the event of Client committing any breach of any terms or condition of this Agreement, the broker shall be entitled to terminate this Agreement forthwith. However, the broker at its option may elect to give notice to the Client of such duration, and extended from time to time, if so decided by the broker, requiring the Client to cure the breach.

IX. TERMINATION & EXPIRY

This Agreement shall stand terminated forthwith, as provided in Clause VIII above, or on the Client failing to cure the breach within the time period as provided in the Notice given there under.

1. This Agreement shall automatically stand terminated, without any further act on the part of any party hereto, on and from the date of termination/determination of the Client Member Agreement executed between the parties hereto in respect of stock broking services provided / being provided by the broker to the Client.
2. In the event of termination / determination of this Agreement, the Client shall forthwith settle all the dues of the broker. The broker shall be entitled to adjust the Margin Amount against the dues of the Client immediately, and the Client hereby authorizes the broker to make such adjustment.
3. After such adjustment, if any further amount is due from the Client to the broker, the Client shall settle the same forthwith. Upon full settlement of all the dues of the Client to the broker, the broker shall release the balance amount to the Client.
4. In the event of failure of the Client to settle the dues of the broker within ____ days, the broker shall be entitled to enforce its rights and shall be entitled to sell off Shares, and adjust/apply the net sale proceeds thereof in recovery of its dues.

X. NOTICES & COMMUNICATIONS

1. Any notice or other communication to be given by one party to the other under or in connection with this Agreement shall be in writing and shall be deemed duly served if delivered personally or sent by confirmed facsimile transmission or by prepaid registered post or email to the addressee at the address / number (if any), of that party set opposite its name below:

**(a) Notices / Communications to be sent to
Peerless Securities Limited**

1, Chowringhee Square, 2nd Floor, Kolkata - 700 069

Phone : (033) 4050-2700, Fax : (033) 2243-6941, E-mail : info@peerlesssec.co.in

Client Signature _____

(b) Notices / Communications to be sent to the Client :

Address : _____

Fax : _____, E.mail : _____

XI. WAIVER

Subject to SEBI requirements, any of the terms and conditions of this Agreement may be waived at any time by the broker, but no such waiver shall affect or impair the right of the broker to require observance and performance of any other term or condition hereof and no waiver hereunder shall be considered valid unless made in writing and signed by the broker and no such waiver, or any failure or delay on the part of the broker to exercise any right, power or privilege hereunder shall be deemed a waiver of any subsequent breach of default nor shall any single or partial exercise of any such right, power or privilege preclude any further exercise thereof or the exercise of any other right, power or privilege.

XII. CLIENT CONFIDENTIALITY

The member hereby undertakes to maintain, the details of the client as mentioned in the client registration form or any other information pertaining to the client, in confidence and that he shall not disclose the same to any person / entity except as required under the law.

Provided however, that the member may share the details of the client as mentioned in the client registration form or any other information pertaining to the client with parties/entities other than required under law with the express permission of the client.

XIII. ARBITRATION

1. All transactions done on the Exchange(s), whether normal or through margin trading facility, shall be covered under the arbitration mechanism of the Exchange(s).
2. It is expressly agreed by and between the parties herein above that any suit, application and/or any other legal proceedings (**Address:** 1, Chowringhee Square, 2nd Floor, Kolkata 700 069) with regard to any matter, claims, differences and for disputes arising out of this agreement shall be filed and for referred to the courts in Kolkata i.e. the City Civil Court and Calcutta High Court for the purpose of jurisdiction.

IN WITNESS WHEREOF the parties hereto have set their respective hands on the date above-mentioned

Signed and delivered by _____)
_____)

for and on behalf of
Peerless Securities Limited _____)

in the presence of : _____)
_____)

Signed and delivered by the within named
Client _____)

in the presence of : _____)
_____)

Signature of the Client

Signature of the Witness

Name of the Client _____ UCC _____

Address of the Client _____

Mobile No. _____ E-Mail ID _____

MARGIN TRADING FACILITY (MTF)

Date _____

To
M/s. Peerless Securities Ltd.
1, Chowringhee Square, 2nd Floor
Kolkata - 700 069

Dear Sir,

This is with reference to the Margin Trading Facility provided by Peerless Securities Ltd. I/We like to avail the Margin Trading Facility and would request you to activate my Trading Account Number, as mentioned above.

I/We have read and understood the applicable Rules, Regulation and Circulars provided by SEBI/ Exchange, Terms and Conditions, Policies and Procedures, Rights and Obligations properly for availing the said facility and hereby agree to abide by the same at all times.

I/We am/are aware of all the Rights & Obligations of Margin Trading Facilities. It is my/our sole responsibility to confirm to the Peerless Securities Ltd about the trades under margin trading at the time of placing of order or after execution of trade. Henceforth, I/We am/are providing permission to Peerless Securities Ltd to mark/transfer my/our trade for Margin Trading Facility Account on daily basis, if eligible.

Kindly activate the above mentioned trading code to Margin Trading Facility Account.

Thanking you,

Yours faithfully,

Signature of the Client



Trust. Invest. Progress

Peerless Securities Limited

Regd. Office : 1, Chowringhee Square, 2nd Floor, Kolkata - 700 069

Phone : 4050-2700, 2243-5942, Fax : (033) 2243-6941

E.mail : pslrelations@peerlesssec.co.in, Website : www.peerlesssec.co.in

CIN : U67120WB1995PLC067616

Email ID for Investor Complaint : pslrelations@peerlesssec.co.in