



# CLIENT REGISTRATION FORM

Account Opening Form  
(INDIVIDUAL)

Broking, Depository & Distribution Services



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

Login ID	<input type="text"/>	CRN	<input type="text"/>
Depository Service	<input type="checkbox"/> CDSL	<input type="checkbox"/> NSDL	
CDSL - Client ID	<input type="text" value="12083300"/>	NSDL-Client ID	<input type="text" value="IN304158"/>

**For Account Opening Team Purpose**

Process	Employee Code & Name	Process	Employee Code & Name
Pre-Audit Maker		Date Entry Maker	
Pre-Audit Checker		Date Entry Checker	

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6.	Rights & Obligations of Beneficial Owner & Depository Participant	Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories.	
7.	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market.	
8.	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
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For any grievance / dispute please contact stock broker IIFL Wealth Management Limited at the above address or email id-IG@iiflw.com and Phone no. 91-22 39585600. In case not satisfied with the response, please contact the concerned exchange(s) at backoffice@nse.co.in / bsehelp@bseindia.com and Phone no. 1800220051 / 022 61363100.

## Instructions/Guidelines for filling KYC Application Form

### A. General Instructions

- 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.
- KYC number of applicant is mandatory for update/change of KYC details.
- For particular section update, please tick (P) in the box available before the section number and strike off the sections not required to be updated.
- Copies of all documents that are submitted need to be compulsorily self-attested by the applicant 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 list mentioned under [I].
- If any proof of identity or address is in a foreign language, then translation into English is required.
- Name & address of the applicant mentioned on the K)/C form, should match with the documentary proof submitted.
- If correspondence & permanent addresses are different, then proofs for both have to be submitted.
- Sole proprietor must make the application in his individual name & capacity.
- For non-residents and foreign nationals, (allowed to trade subject to RBI and FEMA guidelines), copy of passport/and overseas address proof is mandatory.
- In case of Merchant Navy NRI's, Mariners declaration or certified copy of CDC (Continuous Discharge Certificate) is to be submitted.
- 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.
- For foreign entities, CIN is optional; and in the absence of DIN no. for the directors, their passport copy should be given.

### B. Clarification /Guidelines on filling 'Identity Details' section

- 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.
- Either father's name or spouse's name is to be mandatorily furnished. In case PAN is not available father's name is mandatory.

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

- 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/senrices code/number, and resident registration number)

### D. Clarification I Guidelines on filling 'Proof of Identity [Pol]' section. if PAN Card copy is not enclosed/For PAN exempt Investors

- If driving license number or passport is provided as proof of identity then expiry date is to be mandatorily furnished.
- Mention identification / reference number if 'Z— Others (any document notified by the central government)' is ticked.
- Others includes — Utility bill which is not more than two months old of any sen/ice provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Centrall State Government 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.
- 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.
- For FPI, Power of Attorney given by FPI to the Custodians (which are duly notarized and / or apostiled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.
- POA for Resident Individual Constituent opting for only Equity Segment under Saral KYC Form would be obtained vide SEBI CIR/MIRSD/1/2015 dated March 04, 2015.

### E. Clarification / Guidelines on filling 'Proof of Address [PoA] section

- 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.
- State / U.T Code and Pin / Post Code will not be mandatory for Overseas addresses.
- Others includes — Utility bill which is not more than two months old of any sen/ice provider (electricity, telephone, post-paid mobile phone, piped gas, water bill); Bank account or Post Office savings bank account statement; Documents issued by Government departments of foreign jurisdictions and letter issued by Foreign Embassy or Mission in India; Identity card with applicant's photograph and address issued by any of the following: Centrall State Government 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.
- 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.
- For FPI, Power of Attorney given by FPI to the Custodians (which are duly notarized and / or apostiled or consularised) that gives the registered address should be taken.
- The proof of address in the name of the spouse may be accepted.
- POA for Resident Individual Constituent opting for only Equity Segment under Saral KYC Form would be obtained vide SEBI CIR/MIRSD/1/2015 dated March 04, 2015.

### F. Clarification I Guidelines on filling 'Contact details' section

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

### G. Clarification I Guidelines on filling 'Related Person details - Proof of Identity [Pol] of Related Person' section

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

### H. For receiving statement of account in electronic Form:

- Client must ensure the confidentiality of the password of the Email account/Mobile.
- Client must promptly inform IIFL Wealth Management Ltd. (IIFL W) if the email address has changed.
- Client may opt to terminate this facility by giving 10 days prior notice. Similarly IIFL Wealth Management Ltd. may also terminate this facility by giving 7 days prior notice

### I. Strike of whichever is not applicable.

## NOTES

1. Additional documents in case of trading in derivatives segments - illustrative list : (any one of below)

Copy of ITR Acknowledgement In case of salary income - Salary Slip, Copy of Form 16 Copy of demat account holding statement. Any other relevant documents substantiating ownership of assets.	Copy of Annual Accounts Net worth certificate  Bank account statement for last 6 months Self declaration with relevant supporting documents.
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\*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. All communication shall be sent at the correspondence address/ mobile number/ e-mail ID of the Sole/ First Holder only.
6. Thumb impressions and signature other than English or Hindi or any of the other language not contain in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrate.
7. **Minor:** Trading a/c cannot be opened in name of Minor; Demat a/c - Joint a/cs not permitted with minor; PAN and Proof of address of both Minor and Guardian to be submitted
8. **Currency Derivative Segment:** NRI cannot deal in Currency Derivative Segment.
9. **Trading a/c** cannot be opened in joint names.
10. All **corrections** on the form should be countersigned with full signature. White ink is not allowed either in form or authorization.
11. In case of an employee of another Member Broker, NOC from employer is required.

Please note that the mode of payment should be only by way of account payee crossed cheques/Demand draft in favour of "IIFL Wealth Management Ltd. - (Client's Login id)". No cash receipts payments will be entertained for any transactions made by the client. IIFLW will not be responsible for any kind of claims raised by the clients regarding payment made in cash. Mobile number is compulsory for opening of Demat/ Trading account with IIFLW. In case of change in mobile number any time after opening of this account, for postpaid connection it is mandatory to submit the photocopy of the latest/ last 2 months mobile bill and for prepaid connection client must personally visit the branch/ FAN's along with their ID proof (eg. PAN Card/ Driving Licence/ Passport/ Election Voter ID) and get the same verified.

## OTHER INFORMATION ABOUT IIFLW

### LIST OF DESIGNATED BANKS

- |                 |                   |              |
|-----------------|-------------------|--------------|
| 1. HDFC BANK    | 2. ICICI BANK     | 3. AXIS BANK |
| 4. CITIBANK N.A | 5. BANK OF BARODA | 6. YES BANK  |

### LIST OF DESIGNATED DEPOSITORY PARTICIPANTS

1. IIFL Wealth Management Ltd.

**NOTE:** IIFLW reserves the right to make any modifications in the above lists.

### DISCLOSURE OF PROPRIETARY TRADING BY BROKER TO CLIENT:

We refer to circular no. SEBI / MRD / SE / Cir.42 / 2003 dated 19/11/2003 issued by Securities and Exchange Board of India in connection with the above and in terms of the said circular we disclose that we have undertaken proprietary trading, arbitrage as well as investment business on our account in addition to Client based business.

*Intentionally Left Blank*

## PART- I - KYC AND ACCOUNT OPENING FORM - FOR INDIVIDUAL - 1st / First Holder

### 1. PERSONAL DETAILS

	Prefix	FirstName	Middle Name	LastName
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"/>	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> 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 - Country _____ Country Code			
Residential Status	<input type="checkbox"/> Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector <input type="checkbox"/> 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"/> Business <input type="checkbox"/> Not Categorised			
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> NA			
Whether you wish to avail the internet trading facility	<input type="checkbox"/> Yes <input type="checkbox"/> No			

Please affix  
the recent passport  
size Photograph and  
sign across it

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### 2. ADDRESS DETAILS

#### 2.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

#### 2.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

### 3. PROOFS SUBMITTED FOR IDENTITY & ADDRESS

PAN Number (mandatory)  CKYC Number

Passport Number  Passport Expiry Date

Aadhaar Card (mandatory)

(Self Certified copy of any one of the above mentioned needs to be submitted twowords Identity & Address proof separately)

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

### 4. TYPE OF ACCOUNT (FOR DEMAT - STATUS / SUB - STATUS)

Ordinary Resident
  NRI - Repatriable
  NRI - Non Repatriable
  Director
  Margin
  Promoter

**5. GST Registered (Goods and Services Tax)**  Yes  No

GSTIN No. If GST Registered)  Note : Proof of GST registration is required if selected YES

The Goods and Service Tax Number (GSTN) is correct and IIFL AMC will not be responsible for verification of GSTN If the GSTN not provided, it will be considered as unregistered and will be unable to claim the input tax credit on the fees and charges paid.

**6. CONTACT DETAILS**

Tel (Off)  Tel (Res)   
 Fax No.  Mobile   
 Email

**7. GROSS ANNUAL INCOME**

a) Income Range per annum  Below Rs.1,00,000  Rs.1,00,001 to Rs.5,00,000  Rs.5,00,001 to Rs.10,00,000  
 Rs.10,00,001 to Rs.25,00,000  More than Rs.25,00,001 OR  
 b) Networth Rs. \_\_\_\_\_ as on  (Networth should not be older than one year)

**8. FATCA/CRS INFORMATION** (tick If Applicable)  A. Residence for Tax Purposes in Jurisdiction(s) outside India  B. Not Applicable

Additional Details Required (mandatory only if above option (A) is ticked)

Country of Jurisdiction of Residence  Country Code of Jurisdiction of Residence  as per ISO 3166  
 Tax Identification Number or equivalent (If issued by jurisdiction)   
 Place/City of Birth  Country of Birth  Country Code  as per ISO 3166  
 Address in the jurisdiction where applicant is resident outside India for Tax purpose  
 Line 1   
 Line 2   
 Line 3  City/Town/Village   
 District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988  
 State/UT  Country  Country Code  as per ISO 3166

**9. APPLICANT DECLARATION**

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/ our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it I/We hereby authorize IIFL Wealth Management Limited to disclose, share, remit in any form, mode or manner, all/ any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/ us to associates of IIFL Group, issuers, brokers, banks and other relevant parties ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/ us of the same, Further, I/We authorize to share the given information to other Authorised Parties to facilitate single submission / updation & for other relevant purposes, I/We also undertake to keep you informed in writing about any changes / modification to the above information in future promptly, i.e., within 30 days and also undertake to provide any other additional information as may be required at your end, As may be required by domestic or overseas regulators / tax authorities, I/We authorize the Authorised Parties to withhold and pay out any sums from your account or close or suspend your account(s) without any obligation of advising me of the same. I/We hereby authorise you to kindly update/modify KRA/CKYC basis the documents submitted and also to update the account details basis any changes done on KRA/CKYC.

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

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 there in, 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 declare that I am not making this application for the purpose of contravention of any Act. Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.

I/We hereby declare that i/we are Fit & Proper person as per regulation 20of SECC regulation 2012 for executing transactions in the securities of the listed exchanges.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number /email address.

[Signature / Thumb Impression] 23  
 Signature / Thumb Impression of 1<sup>st</sup> Applicant  
 Date   
 Place



## PART- I - KYC AND ACCOUNT OPENING FORM - FOR INDIVIDUAL - 2nd / Second Holder

### 1. PERSONAL DETAILS

	Prefix	FirstName	Middle Name	LastName
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"/>	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> 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 - Country _____	Country Code		
Residential Status	<input type="checkbox"/> Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector <input type="checkbox"/> 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"/> Business <input type="checkbox"/> Not Categorised			
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> NA			
Whether you wish to avail the internet trading facility	<input type="checkbox"/> Yes <input type="checkbox"/> No			

Please affix  
the recent passport  
size Photograph and  
sign across it


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### 2. ADDRESS DETAILS

#### 2.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

#### 2.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

### 3. PROOFS SUBMITTED FOR IDENTITY & ADDRESS

PAN Number (mandatory)  CKYC Number

Passport Number  Passport Expiry Date

Aadhaar Card (mandatory)

(Self Certified copy of any one of the above mentioned needs to be submitted twowords Identity & Address proof separately)

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.




## PART- I - KYC AND ACCOUNT OPENING FORM - FOR INDIVIDUAL - 3rd / Third Holder

### 1. PERSONAL DETAILS

	Prefix	FirstName	Middle Name	LastName
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"/>	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> 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 - Country _____ Country Code			
Residential Status	<input type="checkbox"/> Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector <input type="checkbox"/> 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"/> Business <input type="checkbox"/> Not Categorised			
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> NA			
Whether you wish to avail the internet trading facility	<input type="checkbox"/> Yes <input type="checkbox"/> No			

Please affix the recent passport size Photograph and sign across it



### 2. ADDRESS DETAILS

#### 2.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

#### 2.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

### 3. PROOFS SUBMITTED FOR IDENTITY & ADDRESS

PAN Number (mandatory)  CKYC Number

Passport Number  Passport Expiry Date

Aadhaar Card (mandatory)

(Self Certified copy of any one of the above mentioned needs to be submitted twowards Identity & Address proof separately)

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

#### 4. CONTACT DETAILS

Tel (Off)	<input type="text"/>	Tel (Res)	<input type="text"/>
Fax No.	<input type="text"/>	Mobile	<input type="text"/>
Email	<input type="text"/>		

#### 5. GROSS ANNUAL INCOME

a) Income Range per annum  Below Rs.1,00,000  Rs.1,00,001 to Rs.5,00,000  Rs.5,00,001 to Rs.10,00,000  
 Rs.10,00,001 to Rs.25,00,000  More than Rs.25,00,001 OR

b) Networth Rs. \_\_\_\_\_ as on  (Networth should not be older than one year)

#### 6. FATCA/CRS INFORMATION (tick If Applicable) A. Residence for Tax Purposes in Jurisdiction(s) outside India B. Not Applicable

Additional Details Required (mandatory only if above option (A) is ticked)

Country of Jurisdiction of Residence	<input type="text"/>	Country Code of Jurisdiction of Residence	<input type="text"/>	as per ISO 3166
Tax Identification Number or equivalent (If issued by jurisdiction)	<input type="text"/>			
Place/City of Birth	<input type="text"/>	Country of Birth	<input type="text"/>	Country Code <input type="text"/> as per ISO 3166
Address in the jurisdiction where applicant is resident outside India for Tax purpose				
Line 1	<input type="text"/>			
Line 2	<input type="text"/>			
Line 3	<input type="text"/>			
District	<input type="text"/>	Zip/Post Code	<input type="text"/>	State/UT Code <input type="text"/> as per Indian Motor Vehicle Act, 1988
State/UT	<input type="text"/>	Country	<input type="text"/>	Country Code <input type="text"/> as per ISO 3166

#### 7. APPLICANT DECLARATION

I/We acknowledge and confirm that the information provided above is true and correct to the best of my/ our knowledge and belief. In case any of the above specified information is found to be false or untrue or misleading or misrepresenting, I/We am/are aware that I/We may be liable for it I/We hereby authorize IIFL Wealth Management Limited to disclose, share, remit in any form, mode or manner, all/ any of the information provided by me/ us, including all changes, updates to such information as and when provided by me/ us to associates of IIFL Group, issuers, brokers, banks and other relevant parties ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax / revenue authorities in India or outside India wherever it is legally required and other investigation agencies without any obligation of advising me/ us of the same. Further, I/We authorize to share the given information to other Authorised Parties to facilitate single submission / updation & for other relevant purposes, I/We also undertake to keep you informed in writing about any changes / modification to the above information in future promptly, i.e., within 30 days and also undertake to provide any other additional information as may be required at your end, As may be required by domestic or overseas regulators / tax authorities, I/We authorize the Authorised Parties to withhold and pay out any sums from your account or close or suspend your account(s) without any obligation of advising me of the same. I/We hereby authorize you to kindly update/modify KRA/CKYC basis the documents submitted and also to update the account details basis any changes done on KRA/CKYC.

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder; for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.

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 there in, 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 declare that I am not making this application for the purpose of contravention of any Act. Rules, Regulations or any statute of legislation or any notifications/directions issued by any governmental or statutory authority from time to time.

I/We hereby declare that i/we are Fit & Proper person as per regulation 20 of SECC regulation 2012 for executing transactions in the securities of the listed exchanges.

I hereby consent to receiving information from Central KYC Registry through SMS/Email on the above registered number /email address.



Date	<input type="text"/>
Place	<input type="text"/>

## PART- I - KYC AND ACCOUNT OPENING FORM - GUARDIAN (IN CASE HOLDER IS MINOR)

### 1. PERSONAL DETAILS

	Prefix	FirstName	Middle Name	LastName
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"/>	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female <input type="checkbox"/> 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 - Country _____ Country Code			
Residential Status	<input type="checkbox"/> Resident <input type="checkbox"/> Non Resident <input type="checkbox"/> Foreign National <input type="checkbox"/> Person of Indian Origin			
Occupation Type	<input type="checkbox"/> Service <input type="checkbox"/> Private Sector <input type="checkbox"/> Public Sector <input type="checkbox"/> Government Sector <input type="checkbox"/> 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"/> Business <input type="checkbox"/> Not Categorised			
Please tick, if applicable	<input type="checkbox"/> Politically Exposed Person (PEP) <input type="checkbox"/> Related to a Politically Exposed Person (PEP) <input type="checkbox"/> NA			
Whether you wish to avail the internet trading facility	<input type="checkbox"/> Yes <input type="checkbox"/> No			

Please affix the recent passport size Photograph and sign across it



### 2. ADDRESS DETAILS

#### 2.1 CURRENT / PERMANENT / OVERSEAS ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

#### 2.2 CORRESPONDENCE / LOCAL ADDRESS DETAILS

Line 1

Line 2

Line 3  City/Town/Village

District  Zip/Post Code  State/UT Code  as per Indian Motor Vehicle Act, 1988

State/UT  Country  Country Code  as per ISO 3166

Address Type  Residential / Business  Residential  Business  Registered Office  Unspecified

### 3. PROOFS SUBMITTED FOR IDENTITY & ADDRESS

PAN Number (mandatory)  CKYC Number

Passport Number  Passport Expiry Date

Aadhaar Card (mandatory)

(Self Certified copy of any one of the above mentioned needs to be submitted twowords Identity & Address proof separately)

I/We hereby provide my /our consent in accordance with Aadhaar Act, 2016 and regulations made thereunder, for (i) collecting, storing and usage (ii) validating/authenticating and (ii) updating my/our Aadhaar number(s) in accordance with the Aadhaar Act, 2016 (and regulations made thereunder) and PMLA.



## PART II - ACCOUNT OPENING FORM

### 1. APPLICANT NAME

First Applicant	PAN
Second Applicant	PAN
Third Applicant	PAN

### 2. EXISTING DEPOSITORY ACCOUNT DETAILS

NSDL DP Name	CDSL DP Name
DP ID: IN	Beneficiary Account No.

### 3. POA BANK ACCOUNT DETAILS

Bank Name	
Address	
Bank A/c No.	IFSC Code
MICR Code	Type of A/c <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others
PIS Permission Number	Date

### 4. EXISTING / EXTERNAL BANK ACCOUNT DETAILS

Bank Name	
Address	
Bank A/c No.	IFSC Code
MICR Code	Type of A/c <input type="checkbox"/> Savings <input type="checkbox"/> Current <input type="checkbox"/> NRE <input type="checkbox"/> NRO <input type="checkbox"/> Others
PIS Permission Number	Date

### 5. DEPOSITORY SERVICE

I/We wish to open Depository Account with  CDSL: 12083300  NSDL : IN304158

Name  PAN

For HUF, Association of persons (AOP), Partnership Firm, Unregistered Trust, etc, although the account is opened in the name of the natural persons, the name and PAN of the HUF, AOP, Partnership Firm, Unregistered Trust etc. should be as mentioned above

I/We wish to open BASIC SERVICES DEMAT ACCOUNT (BSDA)  Yes  No

### 6. STANDING INSTRUCTIONS (FOR DEMAT ACCOUNT)

a. Account to be operated through Power of Attorney (PoA)  Yes  No

b. I/We authorise you to receive credits automatically into my/our account  Yes  No

c. I/We wish to receive dividend/interest directly to my/our bank account given herein through ECS  Yes  No

d. Account Statement Requirement  Daily  Weekly  Fortnightly  Monthly (Default option is monthly)

I/We do not require the Delivery Instruction Slip (DIS) for the time being, since I/We have issued Power of Attorney in favour of IIFL Wealth Management Ltd. (IIFLW) for executing delivery instructions for settling transactions executed through (IIFLW) However, the DIS booklet should be issued to me/us immediately on my/our request at any later date.  Yes  No

### 7. PROOF OF FINANCIAL DETAILS (MANDATORY IN CASE OF DERIVATIVES/ CURRENCY) Any One

Copy of ITR acknowledgement  Copy of annual accounts  Copy of Form 16  Network certificate

Bank account statement for last 6 months  Copy of demat account holding statement

Any other relevant documents substantiating ownership of assets.

### 8. COMMUNICATION MODE

I would like to receive the below documents through  Physical  Electronic Mode

- |                           |                                      |
|---------------------------|--------------------------------------|
| 1. Rights and Obligations | 2. Uniform Risk Disclosure documents |
| 3. Do's and Don't's       | 4. All other communications          |

### 9. ADDITIONAL DETAILS (PAST ACTIONS IF ANY )

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:

Particulars	Name of Authority	Month & Year of Action

### 10. TRADING PREFERENCE

STOCK EXCHANGE(S) & SEGMENT ON WHICH YOU WISH TO TRADE:

*(Please sign in the relevant boxes where you wish to trade. The Segment not chosen should be struck off by you.)*

Name of the Segment \ Name of the Exchange	NSE	BSE
Capital Market Segment	3/23	4/23
Futures & Options	5/23	6/23
Currency Derivatives	7/23	8/23
Debt	9/23	10/23
MFSS/BSE StAR	11/23	12/23

If in future, you want to trade on any new segment/ new exchange, separate authorisation/ letter should be submitted to IIFLW.

### 11. DEALINGS THROUGH STOCK BROKERS AND OTHER SUB-BROKERS

Whether dealing with any other stock broker/sub-broker (if case dealing with multiple stock brokers/sub-brokers, provide details of all)

Stock broker's Name & Code

Registered office address

SEBI Registration number  Tel.  Fax

Website

Details of disputes/dues pending from/to such stock broker/sub-broker

Sub-broker's Name & Code

Registered office address

SEBI Registration number  Tel.  Fax

Website

### 12. CONTACT DETAILS

Name of Person for verification call

Mobile 1   Day end transaction confirmation  Transaction authorisation (for POA cases only)

Mobile 2   Day end transaction confirmation  Transaction authorisation (for POA cases only)

Mobile 3   One time verification call

E-mail 1 :   Day end transaction confirmation  Transaction authorisation (for POA cases only)

E-mail 2 :   Day end transaction confirmation  Transaction authorisation (for POA cases only)

E-mail 3 :   Day end transaction confirmation  Transaction authorisation (for POA cases only)

### 13. INTRODUCER'S DETAILS

Status Of Introducer  Sub-Broker  Authorised Person  Remisier  Existing Account Holder  Bank Official

IIFLEmployee  Any Other Person

Introducer's Name

Address

City  Country

State  PIN Code  Tel.

Occupation  PAN

Organization Name

Signature



**14. TOUCH POINT DETAILS** (i.e., Owner/ Promoter in case of Non-individual entity and family head in case of an individual)

**1**

Prefix  Dr.  Mr.  Mrs.  Ms.  Other  Gender  Male  Female

Name

Address

City  Pin Code  Country

Email

Mobile No.  Tel (Off)

Organization

Designation

Industry  Sub Industry

Date of Birth  Marital Status

Name of Spouse

DOB of Spouse  Anniversary Date

Relationship with head of family

**2**

Prefix  Dr.  Mr.  Mrs.  Ms.  Other  Gender  Male  Female

Name

Address

City  Pin Code  Country

Email

Mobile No.  Tel (Off)

Organization

Designation

Industry  Sub Industry

Date of Birth  Marital Status

Name of Spouse

DOB of Spouse  Anniversary Date

Relationship with head of family

**3**

Prefix  Dr.  Mr.  Mrs.  Ms.  Other  Gender  Male  Female

Name

Address

City  Pin Code  Country

Email

Mobile No.  Tel (Off)

Organization

Designation

Industry  Sub Industry

Date of Birth  Marital Status

Name of Spouse

DOB of Spouse  Anniversary Date

Relationship with head of family

Nomination Details			
<input type="checkbox"/> I/We wish to make nomination (as per details give below) <input type="checkbox"/> I/We do not wish to make a nomination (strike of the nomination details below)			
NOMINATION REGN. NO.:		DATE:	
I/We wish to make a nomination and do here by nominate the following person in whom all rights and/ or amount payable in respect of all my/our investments made in various asset classes including Mutual Funds routed through/opened & operated under POA by IIFLW Wealth & Asset Management Limited and securities held in the Depository by me/us in the said beneficiary owner account shall vest in the event of my/our death. I/We authorise the POA holder to sign the relevant nomination form on my/our behalf for all investment made through our POA accounts held under CRN _____ with IIFL Wealth Management Ltd.			
Nomination can be made upto three nominees in the account.			
	Details of 1st Nominee	Details of 2nd Nominee	Details of 3rd Nominee
Name of the nominee(s)			
Share of each Nominee	%	%	%
Any odd lot after division shall be transferred to the first nominee mentioned in the form.			
Relationship with the applicant			
Date of Birth of Nominee(s)			
Address of Nominee(s)			
In case Nominee is minor please provide below details			
Date of Birth			
Name of Guardian			
Address of Nominee(s)			
Relationship of Guardian with nominee			
Photograph of Nominee/Guardian	Please affix Photograph of Nominee/ Guardian & sign across	Please affix Photograph of Nominee/ Guardian & sign across	Please affix Photograph of Nominee/ Guardian & sign across
Name(s) of holder(s)		Signature(s) of holder	
Sole/ First Holder/Guardian (in case minor)			13 23
Second Holder			3 13
Third Holder			3 13
Name of the Witness			Signature  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"/>
Address of the Witness			

Instructions related to nomination are as below:

- I. 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, 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.
- II. 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.
- III. The Nominee shall not be a trust, society, body corporate, partnership firm, karta of Hindu Undivided Family or a power of Attorney holder. A non-resident Indian can be a Nominee, subject to the exchange controls in force, from time to time.
- IV. 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.
- V. Transfer of securities in favour of a Nominee shall be valid discharge by the depository against the legal heir.
- VI. 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, 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.
- VII. On cancellation of the nomination, the nomination shall stand rescinded and the depository/ participant shall not be under any obligation to transfer the securities in favour of the Nominee.

## RISK PROFILER

This questionnaire endeavours to bring out your current attitude towards Risk, or the “Chance of Loss” and your view of how an investment should perform over the next decade. It will suggest what type of strategy you should adopt towards your investments. Since these answers will be used as inputs in your long-term asset allocation, we urge you to invest some time in understanding and answering each question.

***We recommend that you answer the questionnaire without any inputs from your IIFLW Wealth Representative***

**(Please tick any 1 option among those presented)**

### RISK ASSESSMENT:

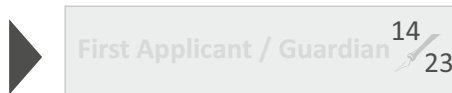
<p>1. The age group you belong to</p> <p><input type="checkbox"/> A Up to 18 years</p> <p><input type="checkbox"/> B 18-24 years</p> <p><input type="checkbox"/> C 25-35 years</p> <p><input type="checkbox"/> D 36-49 years</p> <p><input type="checkbox"/> E 50 years and above</p>	<p>5. “Beating inflation over the long term is more important to me than possible short term losses”</p> <p><input type="checkbox"/> A Strongly Disagree</p> <p><input type="checkbox"/> B Disagree</p> <p><input type="checkbox"/> C Neutral</p> <p><input type="checkbox"/> D Agree</p> <p><input type="checkbox"/> E Strongly Agree</p>
<p>2. Your current and future income sources (example: Salary, Business Income, Investment Income, etc) are:</p> <p><input type="checkbox"/> A Very unstable</p> <p><input type="checkbox"/> B Un stable</p> <p><input type="checkbox"/> C Some what stable</p> <p><input type="checkbox"/> D Stable</p> <p><input type="checkbox"/> E Very stable</p>	<p>6. Imagine the market goes down 25% in a matter of 3 Months, what would be your response?</p> <p><input type="checkbox"/> A Exit my investments completely</p> <p><input type="checkbox"/> B Exit my riskier assets even at a loss and put the money into safer assets</p> <p><input type="checkbox"/> C Hold all my investments and sell the riskier assets once they reach par value</p> <p><input type="checkbox"/> D Hold all my investments and sell nothing, waiting for conditions to improve</p> <p><input type="checkbox"/> E Invest more capital and lower my average purchase price</p>
<p>3. How would you describe your investment experience till date?</p> <p><input type="checkbox"/> A Primarily fixed income investments / currently deployed in Bank Fixed Deposits.</p> <p><input type="checkbox"/> B Mix of Fixed Income and Equities with higher allocation in Equities.</p> <p><input type="checkbox"/> C Primarily equity investments</p> <p><input type="checkbox"/> D Mix of fixed Income, equities and real estate with higher allocation in Real Estate/alternative investments</p> <p><input type="checkbox"/> E Primarily real estate investments</p>	<p>7. The goal of Leveraging is to provide a higher return on invested equity by building in fixed cost of interest. However this strategy can often lead to steeper losses if the return on investments is less than interest cost. How interested would you be in leveraging?</p> <p><input type="checkbox"/> A Not at all interested</p> <p><input type="checkbox"/> B Slightly Interested</p> <p><input type="checkbox"/> C Interested</p> <p><input type="checkbox"/> D Very Interested.</p> <p><input type="checkbox"/> E Extremely Interested.</p>
<p>4. Which of the following statements would be representative of your risk appetite?</p> <p><input type="checkbox"/> A I do not want my investment to lose any value, even if this means it takes longer to achieve my investment goals</p> <p><input type="checkbox"/> B I can tolerate small fluctuations in my portfolio value in order to achieve my investment goals</p> <p><input type="checkbox"/> C I can tolerate moderate fluctuations in my portfolio value in order to achieve my investment goals</p> <p><input type="checkbox"/> D I can tolerate large fluctuations in my portfolio value in order to achieve my investment goals</p> <p><input type="checkbox"/> E I can tolerate extreme fluctuations in my portfolio value in order to achieve my investment goals</p>	<p>8. As a percentage of your overall financial portfolio, what would be the extent of your current borrowings:</p> <p><input type="checkbox"/> A 0%</p> <p><input type="checkbox"/> B Up to 5%</p> <p><input type="checkbox"/> C Greater than 5% and up to 10%</p> <p><input type="checkbox"/> D Greater than 10% and up to 20%</p> <p><input type="checkbox"/> E Greater than 20%</p>

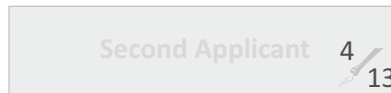
## RISK PROFILER

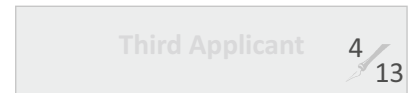
### INVESTMENT OBJECTIVES:

<p>9. While making an investment decision, which is most important to you?</p> <p><input type="checkbox"/> A Capital Preservation</p> <p><input type="checkbox"/> B Regular Income / Cash Flows</p> <p><input type="checkbox"/> C Stable Inflation Beating Returns</p> <p><input type="checkbox"/> D Long Term Capital Growth</p> <p><input type="checkbox"/> E Significant Capital Appreciation</p>	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%;">No. of A</td> <td style="width: 25%;"></td> <td style="width: 25%;">X 1=</td> <td style="width: 25%;"></td> </tr> <tr> <td>No. of B</td> <td></td> <td>X 2=</td> <td></td> </tr> <tr> <td>No. of C</td> <td></td> <td>X 3=</td> <td></td> </tr> <tr> <td>No. of D</td> <td></td> <td>X 4=</td> <td></td> </tr> <tr> <td>No. of E</td> <td></td> <td>X 5=</td> <td></td> </tr> <tr> <td colspan="2"></td> <td><b>Total</b></td> <td></td> </tr> </table>	No. of A		X 1=		No. of B		X 2=		No. of C		X 3=		No. of D		X 4=		No. of E		X 5=				<b>Total</b>	
No. of A		X 1=																							
No. of B		X 2=																							
No. of C		X 3=																							
No. of D		X 4=																							
No. of E		X 5=																							
		<b>Total</b>																							
<p>10. What is your investment horizon? How long can you keep your money invested in securities before needing access to it?</p> <p><input type="checkbox"/> A Less than a Year</p> <p><input type="checkbox"/> B 1-3 Years</p> <p><input type="checkbox"/> C Above 3 years - Less than 5 years</p> <p><input type="checkbox"/> D Above 5 years - Less than 10 years</p> <p><input type="checkbox"/> E Above 10 years</p>	<p>Disclaimer:</p> <p>This assessment is built on the theoretical correlation between risk tolerance, investment term, liquidity needs and attitude towards risk. Should the client not feel comfortable with the outcome of this assessment, his/her specific requirements will take precedence.</p>																								
<p>11. If you are planning significant expenditure, how many years do you estimate you can let your investment grow before you may need to tap into them?</p> <p><input type="checkbox"/> A Less than 1 year (Very Short term)</p> <p><input type="checkbox"/> B 1 - 3 years (Short term)</p> <p><input type="checkbox"/> C Above 3 years - Less than 5 years (Medium term)</p> <p><input type="checkbox"/> D Above 5 years - Less than 10 years (Long term)</p> <p><input type="checkbox"/> E Above 10 years (Very long term)</p>	<p>Client categorization based on risk assessment and investment objectives questionnaire:</p> <p><input type="checkbox"/> Conservative (score 0 -20)</p> <p><input type="checkbox"/> Moderate (score 21 - 40)</p> <p><input type="checkbox"/> Aggressive (score 41 - 60)</p>																								
<p>12. Although it is difficult to plan for the unexpected, in case of any special circumstances (College, Retirement, Medical, etc) outside your usual needs what proportion of your portfolio would require immediate liquidation over the next 3 - 5 years?</p> <p><input type="checkbox"/> A Full Portfolio could be liquidated</p> <p><input type="checkbox"/> B Major Liquidations</p> <p><input type="checkbox"/> C Half of the portfolio could be liquidate</p> <p><input type="checkbox"/> D Some small liquidations</p> <p><input type="checkbox"/> E No Liquidations</p>	<p>Client Declaration</p> <p>I/we hereby confirm that I/we have read, reviewed and understood the above mentioned risk assessment questionnaire and agree to my categorization, based on investment objectives and risk assessment.</p>																								

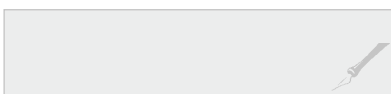
**Signed and delivered on behalf of the Client by the hand of**


14 / 23


4 / 13


4 / 13

For IIFL Wealth Management Ltd.



Signature

## TARIFF SHEET

### SCHEDULE OF BROKERAGE AND OTHER CHARGES

#### Depository Charges

A/c Maintenance Charges*	<input type="checkbox"/>	Yearly Rs. 400/- + Service Tax	
Credit Charges		NIL	
Debit Charges		0.04% (Minimum Rs. 25 per debit transaction)	
Broking Services			*The charges will be pro-rated monthly from the month in which the account is opened till the end of the financial year. For subsequent financial years, the same is payable at the beginning of the financial year**AMC and other charges will be debited to your ledger on yearly and monthly basis respectively
BROKERAGE (CASH)	STANDARD RATE	QUOTED RATE	
Intra-day	0.05%		<b>Other Charges</b>
Delivery: (Normal) settlement Exchange	0.50%		Standard charges
Trade for Trade and Z group scrip	0.75%		Pledge creation
Brokerage (Futures)	0.05%		Rs. 50
Brokerage (Options) Minimum	1% of Premium or Rs. 100/- per lot whichever is higher		Pledge closure
Minimum Brokerage	0.05 per share or 0.05% whichever is higher		--
Auction Charges	1.00%		DEMAT - Per certificate
Liquid Bees			Rs. 15
Currency Brokerage (Futures)	Rs. 25 per lot		REMAT - Per certificate OR Per 100 Units/shares (Whichever is higher)
Currency Brokerage (Options)	Rs. 10 per lot		Rs. 15
Equity Funds and Balanced Funds	0.50%		Conversion of MF units/Destamentisation Per SOA
Debt Funds/MIP/Arbitrage Funds/Gold ETF	0.10%		Rs. 15
Short Term Funds/Ultra Short Term Funds / Liquid Funds	Nil		Reconversion of MF units in to SOA or Redemption/Restatementisation Per SOA
Structured Products	0.05%		Rs. 15
Third Party AIF / PMS	0.25%		Postal Charges per request shall be charged separately
Bonds (>3year maturity)	0.10%		Nil
Bonds (< 3 year maturity)	0.05%		Rejection/Failure per entry
Tax Free Bonds	0.01%		--

#### Remark

#### NOTES

Delayed Payment Charges - Any amount which are overdue from the client towards trading either in cash or derivative segments or on account of any other reason, the Client will be charged delayed payment charges at the rate of 2% per month or such other rate as may be determined by the Stock Broker.

1. Physical print copy of digital contract note can be availed from the branches.
2. Document handling charge of Rs. 30/- shall be applicable:
  - Customer who has opted for receiving documents by electronic mode: In case such customer also intends to receive documents (contract notes and other related documents) by physical mode.
  - Customer who has opted for receiving documents by physical mode: In case such customer intends to receive additional/duplicate copies of documents (contract notes and other related documents) by physical mode. This charge may be partly /fully waived off for high networth /large customer at the discretion of IIFLW.
3. The above charges are exclusive of Service tax, Securities Transaction Tax, other charges and stamp duty. The same shall be charged to the Client's account on actual basis.
4. Inter/settlement/ Beneficiary to pool transfer would be charged 0.04% (Minimum Rs. 25) per scrip plus service tax.
5. Charges/service standards are subject to revision at sole discretion of IIFL Wealth Management Ltd. and as informed by communication available on website or sent by ordinary post/E-mail.
6. Value of the transaction will be in accordance with rates provided by Depository.

7. Statutory and other levies being charges related to the execution and/or settlement of transactions shall be separately chargeable as in force from time to time
8. Charges quoted above are for the services listed. Any service not quoted above will be charged separately.
9. Customer is required to maintain a minimum balance of Rs.1000/- in his/her ledger account.
10. No refund of account opening charges would be given if the account could not be opened due to non submission of complete documents by the client or due to lack of desired co-operation from the client.
11. Management reserves the right to freeze, discontinue or suspend any account if required.
12. In case of expiry of future contracts and exercise and assignment of option, Derivatives Settlement Charges may be levied.
13. In case of buy / sell of same security during the day, the brokerage will be levied on higher side of the transaction amount / price for both intra-day and delivery transactions.
14. Call center service charges of Rs 20 per call for no of calls exceeding 20 in any month.
15. The minimum aggregate brokerage will be Rs.25 per scrip per day for delivery trades in cash segment, subject to regulatory caps, as applicable.
16. Brokerage is also applicable on Expiry / Exercise / Assignment of Options Contract
17. Demat charges shall be applicable for mutual fund transactions..

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

	Sole/First Holder	Second Holder	Third Holder
<b>SIGNATURE</b>	15 23	5 13	5 13

## RM NOTE AND CONFIRMATION

### 1. PERSONAL DETAILS

Client Name

Family Details  New  Existing\* *(\*If Existing, please confirm the following)*

Family Name  FRN

Do we map this client as the Head of family? Yes  No  Would you like to map held away assets as well?  Yes  No

### 2. CLIENT RISK CATEGORISATION UNDER PMLA Low Medium High

### 3. WHERE DID YOU GET THE REFERENCE OF THIS CLIENT?

- Self-Acquired  Existing Client *(if applicable please help with the name of the existing client as well)*  
 Acquisition Lead  Any other source other than the above; Please Specify:

### 4. CLIENT BACKGROUND (Please provide a brief about the client in 2-3 lines)

### 5. OTHER DETAILS

Expected AUM  (Rs. in Crs)

Product of High Interest  Direct Equity  Mutual Funds  Structured Products  Bonds & Other Debts  
 Managed Accounts (Discretionary PMS)  Commodities

**Clients preferences (select from below:)**

Research Report  Yes  No  Regulatory Communication  Yes  No  Gift  Yes  No   
 Product Update/Launches  Yes  No  Corporate Communication  Yes  No  Greetings  Yes  No

### 6. SUBMISSION CHECKLIST

1. Complete Documentation Received as mention below:
- 1.1 Self attested clear Pan Card and valid address proof copy  Yes  No
- 1.2 Cancelled cheque copy (attested bank statement or passbook if cheque is not personalised)  Yes  No
- 1.3 Duly filled Nomination form  Yes  No
- 1.4 Client Master List of Demat account  Yes  No
- 1.5 Financial Details (for last 2 years)  Yes  No
- Yes  No

### 7. "VERIFIED WITH ORIGINAL" STAMP AFFIXED ON PROOFS

	Documents verified with Originals	Client Interviewed By	In-Person Verification done by
Name of the Employee			
Employee Code			
Designation of the employee			
Signature			

### 8. SOURCE RM (PRIMARY RM)

Name  Emp.Code

### 9. RM 2 (EQUITY RM/SUPPORTING RM)

Name  Emp.Code

### 10. SERVICE RM

Name  Emp.Code

### 11. DECLARATION

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), Risk Disclosure Document 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 our website, if any, for the information of the clients.

I have read and understood that if any of the requirements is not fulfilled then a penalty would be charged to me or any other action may be taken as deemed fit by the Management for non compliance from my end.





Name of the Employee of IIFLW  Employee Code

Employee Signature & Stamp  Date

## DECLARATION / CONSENT

1. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/we undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/we are aware that I/we may be held liable for it.
2. I/We confirm having read/been explained and understood the contents of the document on policy and procedures and the tariff sheet.
3. I/We confirm having received a copy of the following documents and further confirm having read and understood the contents of these documents:-
  - Rights and Obligations of Stock Rights and Obligations of Stock Brokers, Sub-Brokers and Clients as prescribed by SEBI and Stock Exchanges
  - Rights and Obligations of Beneficial Owner and Depository Participant as prescribed by SEBI and Depositories
  - Risk disclosure Document for Capital and Derivatives Segment
  - Guidance Note-Do's and Don'ts for Trading on the Exchange (s) for Investors
  - Policies and Procedures applicable to clients.

I/We do hereby agree to be bound by such provisions as outlined in these documents.
- I/We further understand that any change in the sai documents including the "Policies and Procedures" shall be made available on the website of IIFLW and I/We shall keep myself updated of the same.
4. The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/we have understood the same and I/we agree to abide by and to be bound by the rules as are in force from time to time for such account.
5. In case non resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulation.
6. I/We hereby consent to receiving information from central KYC Registry through SMS/Email on the above registered number / email address.
7. I/We hereby agree that IIFLW may assign/transfer entire or part of its broking, depository participant and/or distribution services, to its associate or group companies, without prior consent of the client.
8. I/We agree that the Broking account will be opened in the name of the first applicant only.
9. The instruction/authorization received from the account holder(s)/authorized representative as per mode of holding stated in Schedule 1 to the Power of Attorney on shall be executed by the attorney.

	NAME	SIGNATURE
<b>SOLE/FIRST HOLDER</b>		16 / 23 
<b>SECOND HOLDER</b>		6 / 13 
<b>THIRD HOLDER</b>		6 / 13 
<b>GUARDIAN (in case Sole Holder is Minor)</b>		3 / 3 

## AUTHORIZATION FOR RECEIVING COMMUNICATION ON COMMON MOBILE NO AND EMAIL ADDRESS FOR TRADING, DEMAT AND DISTRIBUTION ACCOUNT

To,  
**IIFL Wealth Management Ltd.**

Date 

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

Dear Sir/Madam,

Login Id (In case registered client)

I/ We wish to receive alerts including details of transactions from Stock Exchange / Depository Participant (DP) on the following mobile No. and / or email address.













Name	Login Id (In case registration client)	Mobile No	Email address	Signature

I/We declare that the above is my/our personal mobile number and / or email address. I/We will be solely responsible for the security of the information provided on my/our aforesaid mobile number and/ or email address. I am fully aware that if same mobile number is provided for some othe account with IIFLW. then I will keep a track for the password requests placed for different accounts and IIFLW. will not be anyway responsible or liable for the same.

I/We agree to abide by and to be bound by the rules as are in force from time to time for such account. I/We hereby declare that the details furnished are true and correct to the best of my/our knowledge and belief. 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 of misrepresenting, I/We am/are aware that I/We may be held liable for it.

Further, I/We agree and undertake to indemnify IIFLW and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation, non-litigation, complaints actions, etc. that may arise in future on account of my /our above authorization request.

Details for Joint Holder /Family (\*) Account /Multiple Account's for whom common mobile number and email address to be updated is as follows;

	1	2	3	4
Login Id				
DP id (Cancel whichever is not applicable)	NSDL - IN304158 CDSL - 12083300	NSDL - IN304158 CDSL - 12083300	NSDL - IN304158 CDSL - 12083300	NSDL - IN304158 CDSL - 12083300
Client id				
Relationship with above person				
First Holder Name				
Signature				
Second Holder Name				
Signature				
Third Holder Name				
Signature				

Place \_\_\_\_\_

Date \_\_\_\_\_

Note \*\*Family\*\* shall mean self, spouse, dependent children and dependent parents.



Voluntary and Limited purpose Power of Attorney (POA) in favour of IIFLW for operational requirements as per client authorization/ instruction.

**POWER OF ATTORNEY (POA) IN FAVOUR OF IIFL Wealth MANAGEMENT LTD.**

This Power of Attorney (POA) is made by the persons mentioned in the Schedule 1 in favour of "IIFL Wealth Management Ltd.", a company incorporated under the provisions of the Companies Act, 1956 in India and having its registered office at IIFL House, Sun Infotech Park, Road No. 16V, Plot No.B-23, Thane Industrial Area, Wagle Estate, Thane - 400 604 and (hereinafter referred to as 'IIFLW', an expression deemed to mean and include its successors and assigns)

WHEREAS IIFLW is inter alia registered with SEBI as a Stock Broker bearing SEBI registration nos. INZ000011437 and is a member of the National Stock Exchange of India Limited ("NSE") and BSE Limited ("BSE") on the Capital Market Segment, Wholesale Debt Segment, Futures & Options Segment and Currency Derivatives Segment.

AND WHEREAS IIFLW is also registered with SEBI as a Depository Participant, bearing SEBI registration number IN-DP-271-2016 and registered with the National Securities Depository Limited ("NSDL") and with Central Depository Services (India) Limited ("CDSL").

AND WHEREAS IIFLW is registered with Association of Mutual Funds in India ("AMFI") as Mutual Fund Distributor having Registration no. ARN-59563.


AND WHEREAS IIFLW as a part of / incidental to the above emblems, offers distribution of Initial Public Offers/Follow on Public Offers, Offer for Sale, Mutual Funds, Alternate Investment Funds, Bonds/Debts, National Pension Scheme and other financial products ;

AND WHEREAS I/We wish to avail the services offered by IIFLW and has entered into necessary documents with IIFLW for availing various services for transacting and/or investing in securities or other financial products with/without Online trading/E-broking & web based facilities and/or services through its website www.iiflw.com or any other website used for offering said Services or directly in my/our trading, depository, distribution, bank account (collectively referred to as 'client accounts') and wherein the details of my/our Trading and Demat account and bank account details are provided in Schedule 2 hereunder and WHEREAS for facilitating smooth investments redemption/ operations of the services as mentioned hereunder being availed from IIFLW by me/us, I/We am/are desirous of appointing IIFLW as an attorney and confer upon it powers hereinafter stated.




NOW THESE PRESENTS WITNESS that I/We, do hereby, jointly and severally nominate, constitute and appoint "IIFL Wealth Management Ltd."(IIFLW) being a Stock Broker and Depository Participant registered with Securities and Exchange Board of India ("SEBI") and AMFI registered distributor of Mutual Funds and as distributor of various financial products, acting through any of its officers and/or agents, as my/our true and lawful Constituted Attorney (hereinafter

referred to as the said Attorney) for me/ us, in my/our name and on my/our behalf and at my/our sole risk and costs to do, exercise and perform all or any of the following acts, deeds and things:




1. To instruct the Depository Participant, being IIFLW to transfer securities held in my/our beneficial owner/demat account as provided in Schedule 2 or such other demat account as may be intimated by me/us to IIFLW from time to time ("client designated demat accounts") to such demat account of IIFLW as provided in Schedule 2 and/or designated by IIFLW and intimated to me from time to time ("IIFLW designated demat account") towards stock exchange related margin/delivery obligations and other transactions arising out of trades executed by me/us through IIFLW in any segment including cash, derivatives and currency derivatives segment.
2. To operate the Bank Account on my/our behalf in connection with the Trading/Distribution Account and perform the following functions:
  - i. To withdraw or transfer any sums from the Bank Account towards any transactions/obligations to the Stock Exchanges/IIFLW, irrespective of debit or credit balance in my ledger statement of trading / distribution / distribution account;
  - ii. To set-off any sum of monies from the Bank Account against any outstanding amount payable by me/us to IIFLW;
  - iii. To prepare sign and submit all the forms, statements

	Sole/First Holder	Second Holder	Third Holder
<b>SIGNATURE</b>	18  23	8  13	8  13

- and declarations as may be required in respect of the Bank Account and collect cheque books/leaves/bank statement from the bank in respect of the Bank Account opened in connection with the trading/ distribution services account opened with IIFLW.
3. Pursuant to instructions, received from the persons (as per mode of Operation) mentioned in Schedule 1 of the POA, to make investments in various financial products i.e. Mutual Funds, Alternate Investment Funds, Bonds/Debts, National Pension Scheme and other financial products from the credit balance available in ledger statement of trading / depository / distribution account and/or redeem the investments from the above towards meeting my obligations/ledger debits towards facilitating my investments/disinvestments and in this regard IIFLW is authorized:
    - i. To enable/execute the transactions through my designated Broking account/Demat account/Bank account/IIFLW ledger account/IPO, Bonds & Debts Account/Direct Investment account from time to time.
    - ii. To sign/execute/submit necessary application/ instructions /forms/intimation as may be required by the respective Fund Houses/Institutions/Banks/ Issuers/ Companies or other entities for purchase, sell, redemption or transfer of Securities etc. through physical or electronic or internet platforms from time to time.
  4. To make application and/or issue instruction for creation/ invocation/closure of pledge on the securities/units held in my/our client designated demat accounts in favour of IIFLW for the limited purpose of meeting the margin requirements in connection with the trades executed by me/us through IIFLW on any Stock Exchange and / or any other transactions arising out of trades executed by me/us through IIFLW in any segment including cash, derivatives and currency derivatives segment.
  5. Generally to do all such acts, deeds, matters and things as may be necessary for or incidental to ensuring that all payments for and delivery of securities arising out of transactions undertaken by me/us through IIFLW are duly and properly completed.
  6. Pursuant to instructions received from the persons (as per mode of Operation) mentioned in Schedule 1 of the POA to make necessary applications on my/our behalf to any officials or authorities in India, including but not limited to, the Central Government, and/or the Reserve Bank of India, Income Tax Authority, Stock Exchanges, Securities and Exchange Board of India in connection with my/our purchase/ sale/ transfer of the securities, and to represent me in all respects before such authority/ies and establish without encumbrance the ownership of securities in my /our name;
  7. The term "Securities" shall include shares, scrips, stocks, bonds, warrants, options, futures, derivatives, convertible debentures, non-convertible debentures, securitized debt instruments, fixed return investment, equity linked instruments or other marketable Securities of a like nature in or of any incorporated company or other body corporate, negotiable instruments, usance Bills of Exchange, deposits or other money market instruments, commercial paper, certificate of deposit, units issued by Unit Trust of India and units issued by Mutual Funds, mortgage backed or other asset backed Securities issued by any institution or body corporate cumulative convertible preference shares issued by any incorporated company and Securities issued by any incorporated company and Securities issued by the Central Government or a State Government for the purpose of raising public loan and having one of the forms specified in Clause (2) of Section 2 of the Public Debt Act, 1944, any other new form of capital or money market instruments that may be issued in the future by any incorporated company/firm/institution or Government.
  8. Pursuant to instructions received from the persons (as per mode of Operation) mentioned in Schedule 1 of the POA (general or specific) to apply for various products and securities including Mutual Funds, Alternative Investment Funds, Structured Products, Public issues of securities including shares, debentures, rights, offer for sale, tendering shares in open offers etc.
  9. Pursuant to instructions received from the persons (as per mode of Operation) mentioned in Schedule 1 of the POA to acquire by subscribing to or by purchase of securities or any other investment products and to sell, transfer and endorse the same or redeem the same or otherwise deal in the securities and/or any other investment products including but not limited to Initial Public Offerings, Further Public Offerings, Buy Back Offers, Right Issues either through internet using identification number issued by any Authority from time to time or otherwise, and/or to sign and to execute all transfer deeds whether as transferor or transferee and such other instruments, applications and papers as may be necessary for acquiring or transferring/redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Funds from one scheme to another or between Mutual Funds and/or otherwise as may be required to deal in the securities or other investment products.
  10. Pursuant to instructions received from the persons (as per mode of Operation) mentioned in Schedule 1 of the POA to make applications for or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any Company/Body/Authority and to receive and hold such rights or additional shares bonds or debentures.
  11. To issue orders and instructions for acquisitions and disposal of investments for and on behalf of myself/ourselves and to purchase or otherwise acquire, invest and sell or otherwise dispose off securities.
  12. To sign the necessary forms and other documents if any and to file the same with the company/ies and/or Mutual Fund concerned or any other entity for purchase, sell, redemption or otherwise transfer of such securities/units of Mutual Funds and transferring it in my/our name.
  13. To forward all such applications placed through the website to the online-IPO module of the concerned Exchange or owner/ issuer of Investment Product.
  14. To receive statements and other documents pertaining to the above units/securities and to acknowledge receipt of the same.
  15. To do all such acts and things as may be necessary to effect the subscription/purchase/redemption or any other transaction in any securities and/or Investment Product for which services are availed from IIFLW.
  16. To debit the purchase price of such securities or any other fees/charges etc. due to IIFLW and to discharge all obligation in this regard on my/our behalf to IIFLW, in my account with IIFL Wealth Management Ltd.
  17. To operate and to give delivery/receive instructions, borrowing and lending instructions, pledge instructions, pledge closure instructions and to do all such other things that may be necessary in the course of business relating to operation of client designated demat account(s) or towards the obligation for transactions done through IIFLW, including transactions on NSE, BSE and other Exchange, under my/our instructions.
  18. To execute the share transfer requests given by me/us through the website or any other medium and process the documents authenticated by authorized signatories empowered to do so in this regard.
  19. To square off at its discretion my/our position of transactions that are not delivery marked during the day.
  20. To demand, receive and give good and effectual receipt(s) and

	Sole/First Holder	Second Holder	Third Holder
SIGNATURE	 19/23	 9/13	 9/13

- discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/ or income arising from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend/interest warrants or certificates, receive all debts, sums of money, principal, interest, dividend or other dues of whatever nature or account which are now or at any time due and payable and belong to me/us.
21. For the purpose of the aforesaid to sign contracts, agreements, transfers, acceptances, receipts, or other instruments, documents and forms, to accept and carry out correspondence with such person(s) or authority/ authorities or department(s) and to do all such lawful acts requisite for effecting the same.
  22. To correspond with and give notice to the corresponding Asset Management Company/Body Corporate/Registrar & Transfer Agent of securities including but not limited to giving instructions with regard to nomination/change in investment plans/any other changes that may be necessitated/ instructed by me/ us.
  23. To comply and/or cause to be complied with all statutory and other requirements attached to or arising out of these premises and for these purpose to take such steps and actions necessary or proper, including signing of affidavits, indemnity, declarations, legal documents, deeds and writings required.
  24. To send consolidated summary of my/our scrip wise buy and sell positions taken with average rates by way of SMS/ e-mail at my/our registered mobile no./email id as provided by me/ us through contract note or any other intimation, on a daily basis, notwithstanding any other document to be disseminated as specified by SEBI from time to time.
  25. To arrange to return to me/us the securities that may have been received by IIFLW erroneously or those securities that IIFLW is not entitled to receive from me/ us.
  26. For all or any of the purpose aforesaid to appoint from time to time a representative and to revoke such representation but so that the appointment of any such representative shall not affect or prejudice the rights or powers of the Attorney to act hereunder and the Attorney may continue to do so notwithstanding such appointments.
  27. To temporarily invest, without my/our consent, the credit balance which is lying idle in my/our ledger and/or bank statement of trading / depository / distribution account, in liquid assets including units of liquid, money market and ultra-short term schemes of mutual funds and also redeem/sell the said temporary investment(s);
  28. To instruct the bank to transfer the funds and debit my / our bank account(s) mentioned hereunder to meet with the following requirement;
    - i. Towards meeting the settlement obligations / margin requirements in connection with the trades executed by me/us in connection with the trades executed by me/us through IIFLW on any Stock Exchange and / or any other transactions arising out of trades executed by me/us through IIFLW,
    - ii. To recover any outstanding amount due/debit balance as reflecting in my ledger statement arising in connection with the trades executed by me/us through IIFLW on any Stock Exchange and / or any other transactions arising out of trades executed by me/us through IIFLW.
    - iii. Towards the payment for subscription of financial products/facilities/services through IIFLW like Mutual Funds, Public Issues (shares as well as debentures), rights, offer of shares etc.
    - iv. To pay any other monies/fees/charges/cost expenses etc. due payable to IIFLW for availing/subscribing to facilities/services availed by me/us.
  - v. To invest available credit balance in any of financial products as per my/our instruction to IIFLW.
  29. To prepare, complete, sign and submit all forms, statements and declarations as may be required in respect of operating of the bank account(s).
  30. To make, draw, sign, endorse, negotiate, accept and release as the case may be cheques, drafts, pay orders, telegraphic transfers/direct transfers on the internet or other securities for payment of money whether debit or credit in my/our account(s) with the IIFLW.
  31. To make, sign and execute all forms and documents as required to operate depository account with depository participant and to issue instructions relating to dematerialization or rematerialising of securities, freezing of accounts, to block and/or debit the account, to give delivery/receipt instructions, pledge instruction, pledge closure instructions, lending and borrowing instructions, and to do all such other things that may be required in the course of business relating to the depository account opened on my/our behalf including closure of the account if deemed necessary or expedient.
  32. Subject to Exchange Control Regulations in India to demand, receive and give good and effectual receipt(s) and discharge(s) for all or any dividends, interest, bonuses or any other sum(s) and/or income from the shares, debentures, units and other investments and to sign and endorse pay orders, dividend or other dues of whatever nature or account which are now or at any time may be due and payable and belong to me/or us on any account(s).
  33. To enter into and execute such deeds, documents and writings as may be required for the purposes of opening, operating and/or closing of any bank account with any Bank in India in our name and on our behalf, in connection with the said credit facilities.
  34. To prepare, complete, sign and submit all forms, statements and declarations as may be required in respect of the opening, operating and closing the bank account(s).
  35. To receive and deposit the monies realized from sale of the securities or any other financial products and all interest/dividends in my/our behalf in my/our bank account;
  36. Further to standing authority to invest in liquid assets, as mentioned in point number 27 of this power of attorney, IIFLW may invest/redeem the available credit balance in my /our ledger account/demat account/bank account in in such other securities and financial products, as instructed by me/us;
  37. To do or omit to do all such acts and things as IIFLW may in its discretion consider to be necessary or desirable in order to exercise its powers hereunder or to comply with any laws, orders, rules, regulations or directions of any government or regulatory or other authorities.
  38. My/Our Attorney IIFLW shall not be liable for any loss that may result from failure/inability of electronic connectivity or rejection of my/our application for any reason whatsoever.
  39. My/Our Attorney IIFLW shall not be liable for any transaction processed on the basis of information provided by IIFLW to the issuers/owners of securities or investment products in the applications or otherwise based on the information provided by me/us.
  40. To attend, vote and otherwise act as attorney or proxy at meetings of the members, creditors, debentures holders of any company in which Securities are acquired or held pursuant to this authority for and on my/our behalf and/or per my/our instructions.
  41. To buy/sell foreign exchange on my/our behalf and to sign all documents related to repatriating the fund from my/our account.
  42. It is hereby clarified and declared that the Attorney being a body corporate, the power herein above granted may be exercised by

	Sole/First Holder	Second Holder	Third Holder
<b>SIGNATURE</b>	20  23	10  13	10  13

any of its agents or employees to whom the Attorney may delegate any of the powers aforesaid and accordingly the Attorney may appoint and remove any sub-agent or Attorney from time to time as it may consider appropriate.

43. The Attorney shall have the sole authority and power to operate the said Account with the Bank and I/we hereby declare and undertake not to operate such Account during the currency of this Power of Attorney in any manner whatsoever My/ Our Attorney IIFLW shall not be liable for any loss that may result from failure/inability of electronic connectivity or rejection of my/ our application for any reason whatsoever.

44. I/ We hereby agree that all such acts done by my/ our above mentioned attorney shall be deemed to be acts done by me/ us and if necessary shall be ratified by me/ us on the instructions of the said attorney.

AND I/We hereby agree that IIFLW shall exercise such powers and authorities conferred under the above Power of Attorney only pursuant to the instructions in that behalf given by me/us or my/our Authorised Representative, which may be given orally, over the telephone, through the internet, electronically or in any other manner acceptable to IIFLW and such instructions shall be deemed to have been given by me/us and shall not be questioned by me/us and shall be conclusive and binding on me/us.

My/Our "Authorised Representative" for the purpose of this Power of Attorney shall mean Mr./Ms. \_\_\_\_\_ or such other person

appointed by me/us and intimated by me/us in writing to the Attorney from time to time.

AND I/We hereby agree that all such acts done by my/our above mentioned attorney shall be deemed to be acts done by me/us and if necessary shall be ratified by me/us on the instructions of the said attorney.

AND I/WE DO HEREBY CONFIRM AND DECLARE THAT this Power of Attorney shall be valid, effective and operative only after the execution by both parties and acceptance by IIFLW and shall remain in force till my account is in the operation and active.

I/ We may revoke this Power of Attorney at any time by giving a notice to IIFLW in writing and the cessation of this authority shall not affect or impair any act thereto done in exercise of these presents.

Such notice shall be duly signed by me/us and should be received at 5th Floor, IIFL Centre, Kamala City, Senapati Bapat Marg, Lower Parel (W), Mumbai-400 013. I/We hereby undertake to ensure that prior to the revocation of this power of attorney all amounts of debit balances including penalties and other charges & expenses till the date of revocation due to the Attorney as per its records are paid/cleared in full. The revocation of this power of attorney shall become operative only after all amounts of debit balances including penalties and other charges and expenses that are payable by me are paid in full.

This document shall be subject to the jurisdiction of the Courts in \_\_\_\_\_. MADE and executed at \_\_\_\_\_ on this \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_\_.

#### SCHEDULE 1

	Name	Age	Address
First/Sole Holder (Trading Account Client)			
Second Holder			
Third Holder			
Mode of Operation (for Distribution POA Account only)	<input type="checkbox"/> Singly <input type="checkbox"/> Jointly _____ <input type="checkbox"/> Any one or Survivor		
Trading Account No./Client ID			
Demat Account No.			
Bank Account No.			

#### SCHEDULE 2

##### a. Client Designated Demat

Demat Account No.

##### b. IIFLW Designated Demat/Bank Account Nos. and For Mutual Funds NSCCL & ICCL CM-BP Ids




DP Name: IIFL Wealth Management Ltd.

DPID: 12083300 (CDSL)	DPID: IN304158 (NSDL)	Bank Account Nos.
NSE - 12083300 - 00000042	NSE - 10000012	
BSE - 12083300 - 00000023	BSE - 10000004	

#### Annexure Enclosed - Annexure to Schedule 2

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

#### Signed and Delivered by

	Sole/First Holder	Second Holder	Third Holder
SIGNATURE	21/23 	11/13 	11/13 

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

<p><b>Witness 1</b></p> <p>Name _____</p> <p>Address _____</p>	<p><b>Witness 2</b></p> <p>Name _____</p> <p>Address _____</p>
--	--

Signature



Signature



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

For **IIFL Wealth Management Ltd.**

Authorised Signatory

Date : \_\_\_\_\_

**Annexure to Schedule - 2 IIFLW Designated Demat A/c with IIFL Wealth Management Ltd**

Sr No	Depository	Category	DP Name	DP ID	Client/BO Id
1	CDSL	CM POOL	IIFL Wealth Management Ltd.	12083300	00000042
2	CDSL	CM POOL	IIFL Wealth Management Ltd.	12083300	00000038
3	CDSL	CM Principal	IIFL Wealth Management Ltd.	12083300	00000023
4	CDSL	CM POOL	IIFL Wealth Management Ltd.	12083300	00000116

Sr No	Depository	Category	DP Name	DP ID	Client/BO Id
1	NSDL	CM POOL	IIFL Wealth Management Ltd.	IN304158	10000012
2	NSDL	CM POOL	IIFL Wealth Management Ltd.	IN304158	10000004
3	NSDL	Client Margin Account	IIFL Wealth Management Ltd.	IN304158	10000037
4	CDSL	Client Margin Account	IIFL Wealth Management Ltd.	12083300	00000057
5	NSDL	Client Margin Account	IIFL Wealth Management Ltd.	IN304158	10024902
6	CDSL	Client Account	IIFL Wealth Management Ltd. - Client Account	12083300	00000061
7	NSDL	Client Account	IIFL Wealth Management Ltd. - Client Account	IN304158	10022343

## AUTHORIZATION LETTER

To,  
**IIFL Wealth Management Ltd.**  
 IIFL House, Sun Infotech Park, Road No. 16V,  
 Plot No. B-23, Thane Industrial Area,  
 Wagle Estate, Thane - 400 604.

Date: \_\_\_/\_\_\_/\_\_\_

Sir,

**A. Availing Mutual Fund Service System (MFSS) facility/ BSE StAR MUTUAL FUND (hereinafter jointly referred to "Mutual Fund Transaction Facilities")**  Yes  No

I/We am/are interested in availing the trading facility of the Exchanges for the purpose of transacting in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS and BSE StAR MUTUALFUND of NSE and BSE respectively.

I/We therefore request you to register me/us as your client for participating in the Mutual fund transaction facilities (MFSS and BSE StAR MUTUALFUND).

I/We are willing to abide by the terms and conditions as mentioned in the NSE Circular dated 24/11/09, BSE Circular dated 02/12/2009 and further circulars as may be specified by the Exchanges from time to time in this regard.

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). For the said purpose of availing these facilities, I/We state that Know Your Client details as submitted by me/us for the stock broking may be considered for the purpose of Mutual fund transaction facilities and I/We further confirm that the details contained in same remain unchanged as on date.

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

With reference to my application for registering as a client for Mutual Fund Transaction facilities offered by NSE and BSE, I/We hereby undertake to provide funds to the Participant equivalent to the subscription amount and applicable brokerage/ fees/ charges before applying for mutual fund units through the Participant.

For this purpose, I/We hereby authorize IIFL Wealth Management Ltd. to utilize the surplus funds in my/our Broking account held with IIFL Wealth Management Ltd. in its capacity as a Stock Broker and transfer funds to the extent of subscription amount and/or applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

My/our exposure limits in my trading account shall be reduced to the extent of the amount utilized for transacting in the mutual fund units as per my instruction. In case of subscription request, I/We hereby understand and agree that based on my instruction, the amount will be debited in my Mutual fund transaction account and surplus funds shall be transferred from my Broking account to my mutual fund transaction account as per this authority letter. I/We further agree and understand that such funds will be used by the Participant for applying for mutual fund units after deducting the applicable brokerage, fees, charges and other statutory levies. I/We agree and undertake to make good such shortfall immediately as may be informed by IIFL Wealth Management Ltd. from time to time.

In case of a redemption request, I/We agree and authorise IIFL Wealth Management Ltd. to debit my mutual fund transaction account to the extent of applicable brokerage, fees, charges and other statutory levies and further authorize to utilize the surplus funds in my/our Broking account held with IIFL Wealth Management Ltd. in its capacity as a Stock Broker and transfer funds to the extent of applicable brokerage, fees, charges and other statutory levies (in case of both subscription and redemption) and/or any other obligation to meet the debit in my/our Mutual fund transaction account.

**B. Authorization for Systematic Investment in Mutual Fund / Securities**  Yes  No

I/We hereby authorize IIFLW to execute an order in my/our account held with IIFLW for purchase of the securities and/or mutual fund units under systematic investment plan on my/our behalf as per my/our instructions.

I/We further agree and understand that all the terms and conditions of the trading agreement/terms and condition entered into/agreed with IIFLW shall be also applicable to the instructions for systematic investment in mutual fund units / securities and I/We hereby agree to abide by the same at all times.

I/We understand that the instructions for systematic investment can be given by me in writing or through the online facility provided by IIFLW or over recorded telephone line. I/We hereby agree and understand that the said instructions shall be valid and binding upon me/us until modified and/or cancelled by me/us by giving valid instruction to IIFLW either in writing or through the online facility provided by IIFLW.

I/We hereby undertake to give an ECS mandate/standing instruction in favor of IIFLW towards my/our trade obligations arising out of this authorization or I/we hereby authorize IIFLW to execute order under SIP on the basis of clear fund available in my ledger account and as per risk management policy.

I/We hereby authorize IIFLW to debit my/our trading account held with IIFLW towards my/our trade obligations and all the fees, charges, taxes, brokerage etc due and payable by me/us.

I/We understand that this authorization can be revoked by me/us at any time by giving a written notice atleast 30 days in advance to IIFLW.

I/We understand that such revocation shall be effective from the date of receipt of confirmation of the same from IIFLW. I/We agree and undertake to fulfill all my/our obligations as per the instructions for systematic investment arising in my/ our account before the effective date of such revocation.

I/We agree to abide by the Terms and Conditions applicable for Systematic Investment in Mutual Fund and/or Securities and any amendments thereto at all times.

I/We undertake to indemnify and keep indemnified IIFLW and its directors/officers for all trades executed on my/our behalf as per the instructions given by me/us.

**C. RUNNING ACCOUNT AUTHORISATION**  Yes  No

Authorisation to IIFL Wealth Management Ltd.

- a) I would like to keep securities purchased by me with you as collateral for giving me exposure limits in my trading account/margin obligation. I authorize you not to transfer shares/securities purchased by me to my demat beneficiary account and keep them with yourselves. I also authorise you to pledge these shares/securities with the Clearing Member/ Exchange/Custodian, at your discretion. In case any of the shares/securities are sold in subsequent settlements, you may take this as a standing instruction to adjust against my previous purchase positions in any of Exchanges.

- b) Whenever I require delivery of any shares/securities, I shall send you a written request. I understand that such payout of securities will be made subject to your risk management policies.
- c) In case there is a debit balance in my account, you are authorized to sell at any point of time the shares/ securities held by me/ held on my behalf, at your sole discretion. Any profit or loss made on such transactions will be to my account as it would have occurred on normal purchase/sale made by me. I also agree to pay the balance amount, if any after deducting credit of sale of shares.
- d) I also request you not to issue cheques /make payments settlement wise unless specifically demanded by me, as payin and payout are very close and therefore exchange of cheque becomes unnecessary paper work.
- e) I/We understand and agree that no interest will be payable to me/us on the amounts or securities so retained with you.
- f) I further authorise you to set off/ adjust any of my debits/dues in any segment of any Exchange with credits of any other segment(s) of any Exchange(s) in my account within the period of settlement of my account (Securities and Funds) as opted by me.
- g) The Securities lying in client beneficiary account on my/our behalf and/or credit balances lying in my/our ledger account of any segments of any Exchanges can be considered as margin for the any segments of any Exchanges.
- h) I/We understand that this authorization shall remain valid until revoked by me/us. I/we undertake to clear all my dues arising during the validity of this authorization else the member shall recover all my/our dues in my/our ledger till date. I also undertake to clear all my dues to you before serving revocation of this authorisation else the member will recover all my dues in my ledger till date and then effect the revocation.
- I) I/We further wish to have settlement of my account (funds and securities):- (Tick any one option):-

Once in Quarter  Once in Month

I/We understand that settlement amount shall be subject to retention of requisite securities/ funds towards outstanding obligations and margins in my account calculated in the manner specified by SEBI/ Exchange and details mentioned in the "Statement of Account" at the time of settlement. I/We authorise you to send the statement of account on funds and securities as on the date of settlement to my internet trading account or e-mail id registered with you. I/We understand that I/We can obtain a copy of the same from any of your Branch offices.

I/We understand and authorize that you will not release the payout in case the balance after necessary retention is upto Rs.10000/- in any of the quarters, till my revocation in writing as I/We will be doing regularly trading with you.

I also undertake to bring any dispute arising from Statement of accounts or settlement so made to your notice within seven working days from the date of receipt of funds/securities or Statement as the case may be.

So kindly maintain my account as a running account basis for funds and securities.

**D. AUTHORISATION FOR RECEIPT OF CONTRACT NOTES AND OTHER DOCUMENTS IN DIGITAL MODE  Yes  No**

I/We hereby consent to receive from IIFL Wealth Management Ltd. the digital contract notes, bills, ledgers, transaction statements, demat statement of accounts/ holding statement(s)/bills/other statements, notices, circulars, amendments and such other correspondence documents, records by whatever name called in electronic form duly authenticated by means of a digital signature as specified in the Information Technology Act 2000 and the rules made thereunder to my below mentioned email id (said email id). E-mail Id :

\_\_\_\_\_ I/We further hereby agree that the IIFL Wealth Management Ltd. shall fulfill the legal obligation, if the above documents are sent electronically to the said e-mail id and I/We am/are aware that I/we will not receive the statements / documents in paper form. In this regard, I/we further confirm and agree that:

- (i) The above is my/ our personal E-mail id. I/ We shall take all necessary steps to ensure confidentiality and the secrecy of the login and password of the abovementioned e-mail account. IIFLW shall not be liable to or responsible for any breach of secrecy. I/We am/are aware that the statements/ documents may be accessed by other entities in case the confidentiality/secrecy of the login name and password is compromised. I/We will be solely responsible for the security of the information provided on my/ our aforesaid e-mail id.
- (ii) E-mails sent to any of the above mentioned e-mail account shall be deemed to be duly delivered to the me/us. However, emails bounced back on account of errors/systems issue attributable to any act of IIFLW will not be considered as duly delivered.
- (iii) IIFLW shall not take cognizance of out-of-office/ out of station auto replies and I/We shall be deemed to have received such electronic mails.
- (iv) Such Statements shall be deemed to have been delivered on the day when the e-mail is sent by IIFLW.
- (v) I/We further agree that IIFLW may at its sole discretion also provide / discontinue such statements in physical form.
- (vi) IIFLW shall not be liable or responsible for any Statement received from frauds or impostors or any consequences thereof.
- (vii) IIFLW shall not be liable for any problem, which arises at my/our computer network because of my/our receiving any Statement from IIFLW.
- (viii) I/We shall inform IIFLW by way of a letter in writing duly signed by me or inform through internet platform if there is any change in the Email given above.
- (ix) I/We undertake to check the Statement and bring the discrepancies to your notice within the time period as specified under the relevant agreements entered into with IIFLW. My/Our non-verification or not accessing the Statement on regular basis shall not be a reason for disputing the same at any time.
- (x) I/We shall inform in writing in prescribed format to IIFLW to discontinue the said facilities. I/We and IIFLW shall have the right to terminate such service provided a written notice is given atleast 10 days in advance to the other party.

I/We shall immediately inform IIFLW about change in email address, if any. I/We further agree that IIFLW will not be responsible for nonreceipt of documents sent via electronic delivery due to change in/incorrect email address/correspondence address as mentioned or any other reason which inter alia include technical reasons or malfunction of my/our computer system/server/internet connection etc. Further I/We agree and undertake to indemnify IIFLW and its group companies, that they will not be held liable/responsible for any losses, claims damages, cost and liabilities etc. caused to me/us due to misuse of this information or pursuant to any litigation cases, complaints, actions, etc that may arise in future on account of my/ our above authorization request.

**E. AUTHORISATION FOR ONLINE TRADING SOFTWARE PASSWORD  Yes  No**

I wish to use online Trading Software in this regards Following:-

- I. Please send my system-generated, internet account first time as well as subsequent, password on the registered mobile numbers. Also, if I ever need to reset the Password later, the same should also be sent by SMS on the above given mobile number. As soon as I receive the systemgenerated Password, I shall login and change it for security reasons. I am aware that system-generated Password will automatically expire in 72 hours from the time of sending.
- II. In the event that I do not receive the Password on SMS within 24 hours of opening of account or request for reset of Password, I shall contact the Customer Service Department of the IIFLW immediately and request for re-setting of my Password.
- III. I have been explained that I shall set my new Password as may be easy to remember for me, but should not be easy to decipher for

anybody else and should be preferably alpha-numeric and not my or any family member's name/ surname.

IV. I am fully aware of the risk of electronic loss/ theft and agree to be solely liable and responsible for the same as well as for any unauthorized use/ misuse of the Password. I understand IIFLW will not be responsible or liable in any manner whatsoever for the same.

F. **Availing IIFLW Distribution Services**  Yes  No

I/We understand that:

(a) IIFL Wealth Management Ltd. (herein after referred as IIFLW), its associates and subsidiaries of IIFL Holdings Ltd. (IIFL Group) are engaged in providing various financial services including distribution and execution services of various securities and financial products. Accordingly, for providing said services IIFL Group may earn fees (including arranger fees) or commission from issuers of mutual funds, alternative investment funds, venture capital funds, debt instruments etc.

(b) Apart from above, securities/products distributed may be of IIFL Group and accordingly investment transaction may include transaction with IIFL Group as counterparties and IIFL Group may receive various form of remuneration linked to distribution services offered to the Client.




I/We hereby agree to avail services like distribution of securities/financial products including but not limited to following offered by IIFLW Distribution Services.

- Initial Public Offer/Follow on Public Offer /Offer for sale
- Mutual Funds / Alternative Investment Funds
- Bonds, Debentures
- NPS
- Other financial products

1. The instruction/authorization received from the account holder(s)/authorized representative as per mode of holding stated in Schedule 1 to the Power of Attorney on shall be executed by the attorney.
2. I/ We hereby authorize IIFLW and its associates to disclose, share, remit in any form, mode or manner, all/any of the information provided by me/us, including all changes, updates to such information as and when provided by me/ us to associates of IIFLW Group, issuers, brokers, Mutual Funds, AIFs, banks and other relevant parties ('the Authorized Parties') or any Indian or foreign governmental or statutory or judicial authorities/agencies including but not limited to the Financial Intelligence Unit-India (FIU-IND), the tax/revenue authorities in India or outside India wherever it is legally required and other agencies without any obligation of advising me/ us of the same.
3. I/ We hereby declare that there is no action pending against me/us by any regulatory authority for violation of any law. There are no unpaid fines/penalties levied on me/us. I/We have not violated any law applicable to us or circular/regulations issued under any law as on date. I/We have no legal or regulatory proceedings pending against me/us for any financial crimes or violation of Securities laws initiated by SEBI/RBI/Banks or any other financial institution.

**DECLARATION**

- i. I am aware that the mobile number shall be updated in all your records and databases including trading and demat account.
- ii. I declare that the registered number is my personal mobile number and is always in my safe custody. I shall keep IIFLW informed of any change in my mobile number immediately for updating the same in databases. I am aware that without intimation for change in mobile number, IIFLW would not be able to send my Password over new mobile number and also would not be able to update in records and databases.
- iii. I am aware that in case of change in my mobile number anytime after opening of this account, it is mandatory for me to submit the photocopy of a latest/last two months Mobile bill for postpaid connection. If I have prepaid connection then I have to visit personally to the Branch/FANs alongwith my ID proofs (E.g.: Pan Card or Driving License) and get the documents verified by the branch officials.
- iv. I will be solely responsible for the security of the information provided on my aforesaid mobile number. Further,
- v. I agree and undertake to indemnify IIFLW and its group companies, that they will not be held liable/responsible for any losses, claims, damages, cost and liabilities etc. caused to me due to misuse of this information or pursuant to any litigations, non-litigation cases, complaints, actions, etc. that may arise in future on account of my above authorization request.
- vi. SMS Alerts Facility by depository : I/We consent to CDSL/NSDL providing to the service provider such information pertaining to account/transactions in my/ our account as is necessary for the purposes of generating SMS Alerts by service provider, to be sent to the said mobile number. I/We have read and understood the terms and conditions mentioned above and agree to abide by them and any amendments thereto made by the depository from time to time. I/ We further undertake to pay fee/charges as may be levied by the depository from time to time. I/We further understand that the SMS alerts would be sent for a maximum four ISINs at a time. If more than four debits take place, the BOs would be required to take up the matter with their DP.
- vii. I/We confirm having received a hard copy of the following documents and further confirm having read and understood the contents of these documents.
  - Terms & Conditions For Distribution of Securities.
  - Terms and Conditions for availing Mutual Fund Service System (MFSS) facility and BSE StAR Mutual fund offered by NSE and BSE respectively.
  - Terms and Condition for availing systematic investment in Mutual fund/Securities.

	Sole/First Holder	Second Holder	Third Holder
<b>SIGNATURE</b>			



## TERMS AND CONDITIONS FOR AVAILING THE SERVICES OF DISTRIBUTION OF SECURITIES/ FINANCIAL PRODUCTS AND DIRECT INVESTMENT PRODUCTS OFFERED BY IIFLW

IIFL Wealth Management Ltd. being the stock broker is in the business of providing Trading cum Demat Services to its clients. In additions, IIFLW is also engaged in marketing and distribution of mutual funds, registered with the Association of Mutual Funds in India (AMFI) as a Mutual Fund Distributor and involved in distribution of various other securities and financial products including products offered by its affiliates or group companies. IIFLW provides online/offline facility to apply/purchase/ redeem/sale/buyback or otherwise deal in the units of Mutual Funds and other securities including transaction services opted in Account Opening Form (hereinafter referred to as 'transactions').

The Client wishes to avail of the facilities/services through IIFLW on the following terms and conditions set forth herein below. The terms and conditions contained herein are binding on the Client. The Client has agreed to obtain facilities/services from the IIFLW after fully understanding the entire terms and conditions. The terms and conditions shall be subject to amendment, if any from time to time at the sole discretion of IIFLW and such amendments shall bind on the client. For the purpose of the present Terms and Conditions, National Stock Exchange of India Limited and the Bombay Stock Exchange Limited shall be known as the Stock Exchanges.


- 1) The Client has option to authorize IIFLW by executing a Power of Attorney in favour of the IIFLW to execute instructions of the Client or its authorized representative with regard to the transactions including but not limited to acquire by subscribing to or by purchase of securities and to sell, transfer, endorse the securities (including but not limited to Initial Public Offerings, Buy back offers, right issues etc.) or redeem the same either through Online (using the identification number issued by any Mutual Fund from time to time) or otherwise and/or to sign and execute all transfer deeds whether as transferor or transferee and such other instruments, application and papers as may be necessary for the purpose of acquiring, transferring/ redeeming the same, marking pledge/lien on such securities and/or for transferring the investments in the units of Mutual Fund from one scheme to another or between mutual Funds, to make application for, or to renounce and sign renunciation forms in respect of bonds/debentures, right shares and additional shares of any company/Body/Authority and to receive and hold such rights or additional shares, bonds or debentures.
- 2) All instructions given by the Client/its authorized representative shall be binding on the Client and IIFLW may furnish a certified copy of the Power of Attorney and other documents on behalf of the Client to the Company/ Registrar/Mutual Fund or any third party.
- 3) The Client agrees that the instructions with regard to the transactions shall be in the Client's sole name or in the name of the Client jointly with other persons as intimated by the Client.
- 4) The instructions with regard to the transactions may be given through by sending email from registered email ID or by making the call from registered telephone number/mobile number or any other reasonable mode as permitted by IIFLW.
- 5) IIFLW may refuse to act on any instructions unless they are given in the manner and form acceptable to IIFLW. However, IIFLW shall have no responsibility to determine the authenticity of any instructions given or purported to be given by the Client. The Client shall not hold IIFLW liable on account of IIFLW acting in good faith on instructions given by the Client or its authorized representative.
- 6) IIFLW at its own discretion may not carry out the Client's instruction, where the IIFLW has reasons to believe (which discretion of IIFLW the Client shall not question or dispute) that the instructions are not genuine or are otherwise improper /unclear/raise a doubt. IIFLW shall not be liable if any instructions are not carried/ partly carried out for any reason, whatsoever. All transactions are subject to the applicable regulatory norms and/or IIFLW's internal policy requirements.
- 7) The Client understands and agrees that the mutual fund/RTA/Issuer

Company/stock exchanges/may cancel, close or reject any contract suo-moto without giving any reason thereof. In the event of such cancellation, closure or rejection, IIFLW shall be entitled to cancel relative contract(s) with the Client and the Client shall not raise any objection and for it and hold IIFLW liable/responsible for it.

- 8) In case of Mutual Funds, the Client agrees and acknowledges that IIFLW shall provide the facilities as agreed between the parties only in respect of the selected Mutual Funds, with whom IIFLW has entered into a separate arrangement/agreement.
- 9) The Client undertakes to read all the relevant Offer Documents and addendums thereto and terms and conditions of all schemes of all mutual funds and other issues of securities including but not limited to Initial Public Offerings/Public Offers, Rights issue and Buy Back offers; before entering into any transactions the Client agrees to abide by the terms, conditions, rules and regulations as applicable from time to time. All relevant documents in this regard shall be made available by IIFLW to the Client.
- 10) The Parties shall ensure that the transactions through IIFLW are executed in accordance with the applicable laws, byelaws, rules and regulations governing the specific investment product. IIFLW may, from time to time, impose and vary limits on the orders which the Client may place, including but not limited to exposure limits, turnover limits and limits as to numbers. The Client agrees that IIFLW shall not be responsible for any variation or reduction that may be deemed necessary by IIFLW based on its risk perception and other relevant factors.  
The Client understands that direct investments in bonds /debentures/equity/equity related instruments/ mutual fund/venture capital fund may carry significant liquidity, credit and default risk, pricing risk. including the possible loss of principal amount invested. Past results are not a guarantee of future performance; yield or performance fluctuates and may not be a reflection of past results. The Client shall make investment after carefully understanding the Investment products. IIFLW shall not be liable or held liable for any consequences thereof.
- 11) The Client expressly agree and acknowledge that any information contained in the IIFLW's Brochures or other materials or otherwise communicated by IIFLW shall not be constructed as investment advice and that all decisions to purchase or sell units/securities made by the Client and shall be on the basis of own personal judgment arrived at after due consideration. IIFLW not assure or promise any bonus, interest, dividend, guaranteed returns and profit.
- 12) IIFLW shall not be under any duty to verify compliance with any restriction on the Client's investment powers.
- 13) The Client is responsible for the personal and bank related details provided by the Client. Neither IIFLW nor any of the Mutual Funds/Issuers or their respective Registrars shall accept any liability which may arise as a consequence of the erroneous information provided by the Client.
- 14) The Client authorizes the IIFLW to disclose/share, all such information pertaining to the Client with the companies/entities/subsidiaries/affiliates of IIFLW or their agents' Banks/Financial Institutions/Statutory Bodies as may be required from time to time, for the Client to be able to avail of any or all of the services provided by IIFLW under this arrangement or any other services. The Client shall undertake not to hold IIFLW and/or companies/entities/ subsidiaries/affiliates of IIFLW and/or their agents liable or responsible for use of the aforesaid information.
- 15) In case of change of address and personal details of the Client, the Client shall intimate te same via written letter/email to IIFLW of such change.
- 16) The Client agrees and understands that the folio number of the Client in respect of the Mutual Fund schemes shall be received by IIFLW from the Asset Management Company.
- 17) Further, any change in the details of the Client including but not

- limited to the Demat account, Bank Account, Address, registered contact number, email ID shall be first intimated to the IIFLW who may in turn liaise with the Issuer Company/ Mutual Fund/Asset Management Company or its respective Registrars to update such changes. The Issuer Company/ Mutual Fund/ Asset Management Company or its respective Registrars may reject such requests and in such an event IIFLW shall not be liable for any such rejection.
- 18) The Client further agrees that the Client shall not close/change the details of the Bank account without prior notification to IIFLW and the Client agrees that IIFLW may instruct Bank of the Client to reject any such request received from the Client.
  - 19) The Client shall provide IIFLW with its Permanent Account Number (PAN). In the event the Client has mentioned "Not Applicable" against PAN in the Application Form, the Client confirms that the Client is exempted from obtaining a PAN under the provisions of the Income Tax Act, 1961. However, in the event the Client id/application is for Rs. 50,000 or more and PAN is not provided, the Client shall be required to submit Form 60 or Form 61 as the case may be together with permissible documents as proof of address.
  - 20) The Client acknowledges that the purchase/application instructions shall be processed by IIFLW only after sufficient funds to cover the purchase/application price and other costs and charges are received by IIFLW.
  - 21) If after execution of any transaction it is for any reason found that IIFLW has not been provided with sufficient funds by the Client, the Client shall pay the deficient amount to IIFLW forthwith on demand, failing which IIFLW may (but shall not be bound to) square up the transaction at any time at the Client's sole risk and cost. Any loss arising on such squaring up will be borne solely by the Client and the Client shall pay to the IIFLW the additional amount that may be payable by the Client, the IIFLW's demand being conclusive.
  - 22) The Client declares and confirms that the amount being invested by the Client either directly or through its Power of Attorney holders, in any schemes of all mutual funds or other securities including but not limited to Initial Public Offerings/Public Offers, Rights issue and Buy Back offers is obtained through legitimate sources and is not held or designed for the purpose of contravention of the provisions of any Act, Rules and Regulations or any statute or legislation or any other applicable Laws or any Notifications, directions issued by any Governmental or Statutory Authority from time to time.
  - 23) In case the Client is a Non-resident Indian, the Client confirms that the funds remitted from abroad are through approved banking channels or from the NRE/NRO/FCNR account.
  - 24) If for any reasons, IIFLW is unable to carry out the transactions as instructed by the Client/Client's authorized representative to the extent of full quantity of units/securities, IIFLW shall be entitled at its discretion and the Client hereby irrevocably authorizes IIFLW to carry out a transaction of a lesser quantity of units/securities subject to the prior consent of the Client. IIFLW shall not be responsible for the non-execution of the Client's instructions for the entire quantity or the remaining quantity due to market conditions provided the prior consent of the client has been obtained.
  - 25) The Client agrees and acknowledges that any instruction given or purported to be given by the Client/its authorized representative before the cut off time as may be intimated by the IIFLW to the Client from time to time, will be processed on the same day. Any instruction received after the cut off time will be processed on the next working day, if applicable.
  - 26) In case of Mutual Fund, applicable Net Asset Value (NAV) shall be as per the Offer Document and SEBI Rules and Regulations. The units of scheme shall be allotted, redeemed or switched, as the case may be, at the NAV prevalent on the date of the application, if the application for purchase, redemption or switch is received by the Fund before the cut-off time as specified on the website and consistent with the terms of the scheme. Any request falling due on holiday would be processed on the next business day and respective NAV would be applicable as per Mutual Funds offer documents.
  - 27) In case of other securities, the order for purchase, sell, offer under Buy Back etc. shall be accepted by IIFLW only if the same is received by the cut off date as indicated on the website and consistent with the terms of the offer.
  - 28) The Client agrees and acknowledges that after the first purchase transaction in any Mutual Fund, the Client may not be permitted to transact till the folio number is allotted. IIFLW does not accept any liability for delay in processing time at the Mutual Fund's or Registrar's end.
  - 29) IIFLW shall credit the proceeds of the sale/redemption etc., for any of the Investment Products only after IIFLW has received the same unless specifically agreed otherwise.
  - 30) The Client acknowledges that IIFLW or its representatives shall not be under any obligation to provide him with any tax, legal, accounting, investment advice or advice regarding the suitability or profitability of investment of any kind, nor does IIFLW or its representatives give any advice or offer any opinion with respect to the nature, potential value or suitability of any particular transaction or investment strategy.
  - 31) It is explicitly stated herein that the Mutual Fund Schemes/ Offer Documents/other schemes offered by IIFLW, have not been/shall not be understood as recommended by the IIFLW.
  - 32) The Client can view his/her/its transactions on the website. A physical copy of the transactions statement or the account statement shall be sent by IIFLW only on a written request from the Client.
  - 33) In case an application is made for Initial Public Offer/Public Offer/Units of Mutual Fund through IIFLW, the Client authorizes IIFLW to collect on Client's behalf, the refund amount, if any, from the Issuer Company/Registrar/Asset Management Company/ Mutual Fund and subsequently credit the same to Client's Bank account, after set-off/ adjustment of dues payable by the Client on account of obligations incurred in connection with the application.
  - 34) The Client further agrees that IIFLW shall not be held responsible for non-allotment of securities either fully or partly to Client, for any reason whatsoever. IIFLW shall not be held responsible in case due to some reason the bid/application/revision instructions sent by Client is not received by it, or if the bid/application/revision could not be uploaded to the Stock Exchange, or could not be sent to the Bankers/Registrar to the issue.
  - 35) IIFLW shall not be held responsible for non-receipt/delay in/incorrect receipt of fund, if any, from the Registrar/ Company. IIFLW shall not be held responsible for incorrect Tax Deduction at Source (TDS) by the Registrar/company, if applicable, or for nonreceipt or delay in/ incorrect receipt of TDS Certificate, if any from the Registrar/Company/ Mutual Fund.
  - 36) IIFLW shall not be liable for any loss or damage caused by reason of failure or delay of the mutual fund to deliver any units purchased even though payment has been made for the same or failure or delay in making payment in respect of any sold though they may have been delivered.
  - 37) The Client understands that the corporate actions including but not limited to Dividends, declared by the Issuer Company/Mutual Fund shall be directly paid by the Issuer Company/Mutual Fund to the Client's bank account as detail provided by the Client.
  - 38) IIFLW shall also not be liable to the Client for any delay, failure or refusal of the Mutual Fund/any Issuer Company / Corporation or other body in registering or transferring units to the names of the Clients of for any interest, dividend or other loss caused to the Client arising therefrom.
  - 39) The Client agrees to provide IIFLW with any confirmation/ declaration or any other document that the concerned Issuer/Asset Management Company or any other entity may from time to time require IIFLW to collect from the Client in respect of the services offered under this agreement.
  - 40) IIFLW shall not be responsible for any changes in the data of any scheme as carried out in the Offer document or any other documents/material issued by Asset Management company/Issuer Company/Mutual Fund.
  - 41) IIFLW does not accept any liability for delay in processing time at the Mutual Fund's/Issuer or Registrar's end. The Client agrees that

- IIFLW shall not be liable or responsible for non execution of any transactions for any reason, whatsoever.
- 42) Neither IIFLW, nor any of the Mutual Funds/nor the issuer shall be liable for any failure to perform its obligations, to the extent that such performance had been delayed, hindered or prevented by systems failures network errors, delay or loss of data due to the aforesaid, acts of God, floods, epidemics, quarantine, riot or civil commotion and war.
  - 43) The Client agrees and understands that the application in Mutual Fund/Initial Public Offering shall be subject to the applicable Acts, Rules, Regulations, guidelines, circulars, notifications, and directives issued by the Regulatory Authorities and Offer Document issued by the respective Mutual Fund/ Issuer.
  - 44) The Client further understands and agrees that he/she shall not place trades at unrealistic prices from current market price of the security or trade in illiquid securities which create artificial liquidity or amounts to manipulation of prices or cross/synchronized trades.
  - 45) IIFLW shall provide its services on a best efforts basis. However IIFLW shall not be liable for any failure or for any loss, damage or other costs arising in any way out of:
    - a) System failure including failure of ancillary or associated systems, or fluctuation of power, or other acts of God/force majeure;
    - b) Accident, transportation, neglect, misuse, errors, frauds on the part of the Client or any agent of the Client or agents or any third party, or
    - c) Any fault in any attachments or associated equipments of the Client
    - d) Any incidental, special or consequential damages including without limitation of loss of profit.
  - 46) In the event of disputes, differences, claims and questions between the Parties arising out of these Terms and Conditions or in any way relating hereto or to any provision hereof or the construction or interpretation thereof, the Parties shall first endeavor to settle the same by friendly consultation and, failing such settlement, Both the parties agree to refer any claims and/or disputes to arbitration as per the Rules, Byelaws and Regulations of the Exchange/ regulators and circulars issued thereunder in accordance with the provisions of the Indian Arbitration and Conciliation Act, 1996. The language of Arbitration shall be English. The award of the arbitrator shall be final and binding.
  - 47) The Client understand that all disputes and differences arising out of, under or in connection with these terms and conditions or anything done hereunder shall be within the exclusive jurisdiction only to the courts of Mumbai. Further these terms and conditions are subject to and shall be construed in accordance with the laws prevalent in India.
  - 48) The parties understand that in case of gross negligence, or wilful default by either party, the party guilty of gross negligence or wilful default shall indemnify the other party for, any and all costs, charges, expenses, claims, losses or liabilities of any nature (direct or indirect) including reasonable legal fees and expenses incurred and/or suffered by other party resulting from any act of omission/commission (or any delay) committed by the party guilty of such gross negligence or wilful default.
  49. The Client confirms that he/she has read and understood disclosures relating to commissions on mutual fund distribution activities, which are made are available on our website www.iiflw.com. He/She is also aware that IIFL Mutual Fund is sponsored by IIFLW & subsidiary of IIFLW manages AIF's and VC fund launched by IIFL group.
  - 50) The Client confirms that the said distribution arrangement is a purely executionary arrangement, without any product recommendation or advice. For any product recommendation or advice the Client may seek services of the Company's Advisory Unit which is distinct and segregated.

	Sole/First Holder	Second Holder	Third Holder
<b>SIGNATURE</b>	23/23 	13/13 	13/13 

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**ACKNOWLEDGEMENT**

From

**IIFL Wealth Management Ltd.**  
IIFL House, Sun Infotech Park, Road No. 16V,  
Plot No. B-23, Thane Industrial Area,  
Wagle Estate, Thane - 400 604.  
DP Id: 12083300 / IN304158

Received the application from Mr/Ms \_\_\_\_\_ as the sole/first holder alongwith \_\_\_\_\_ and \_\_\_\_\_ as the second and third holders respectively for opening of a trading, depository and distribution account. Please quote the DP ID & Client ID allotted to you in all your future correspondence.

Date 

D	D	M	M	Y	Y	Y	Y
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**Participant Stamp & Signature**

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REGD. OFF. : IIFL House, Sun Infotech Park, Road No. 16V,  
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Member of the National Stock Exchange of India Limited ("NSE")  
and BSE Limited ("BSE") on the Cash, F&O, CDS, WDM

SEBI Reg. No. INZ000011437

Depository - NSDL & CDSL - SEBI Reg. No. IN-DP-271-2016, AMFI  
as Mutual Fund Distributor having Reg. No. ARN-59563.

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