

Sr. No.

Client Code :

Branch Code :

CTCL ID :

**INDIVIDUAL**  
ACCOUNT OPENING

**KEDIA | CAPITAL**

**1<sup>st</sup> Unified Licensed Stock Broker in India**

**PUTTING CLIENT FIRST**



**KEDIA CAPITAL SERVICES PRIVATE LIMITED**

MEMBER : NSE, BSE, MCX, NCDEX, ICEX, CDSL  
CLIENT REGISTRATION FORM FOR INDIVIDUAL  
MEMBER ID : 90136 (NSE) 6713 (BSE) 16435 (MCX) 01007(NCDEX) 2025 (ICEX)  
SEBI REGD No. : INZ000042238 / INDP 394-2018  
Clearing Member : Globe Capital Market Limited / Globe Commodities Limited

<b>Registered Office Address</b>	Off. No. 1 & 2, 1st Floor, Tulip-Flower Valley, Khadakpada Circle, Kalyan (w) 421301. Tel.: 0251-6161 111 E-mail : info@kediacapital.com www.kediacapital.com
<b>Correspondence Office Address</b>	Off. No. 1 & 2, 1st Floor, Tulip-Flower valley, Khadakpada Circle, Kalyan (W) 421301. Tel.: 0251-6161 111 E-mail : info@kediacapital.com www.kediacapital.com
<b>Compliance Officer Name Phone No. Email ID</b>	Ajay Kedia 0251-6161 111 grievance@kediacapital.com
<b>Chief Executive Officer Name Phone No. Email ID</b>	Vijay Kedia 0251-6161 111 vijay@kediacapital.com

For any grievance/dispute please contact The Member **KEDIA CAPITAL SERVICES PRIVATE LIMITED** at the above address or email at grievance@kediacapital.com or call on 0251-6161111. In case if you are not satisfied with the response, please contact the concerned exchange(s).

For MCX-grievance@mcxindia.com or call (022) - 66494000 / NCDEX-askus@ncdex.com or call (022) - 66406789. For BSE mail at is@bseindia.com or call on (022) - 2272 8097, for NSE mail at ignse@nse.co.in or call on (022) - 2659 8190. For ICEX mail at grievance@icexindia.com or call on (022) 40381546.

## ACCOUNT OPENING KIT INDEX OF DOCUMENTS

Sl. No.	Name of the Document	Brief Significance of the Document	Page No.
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### MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES

1	Account Opening Form	A. KYC form - Document captures the basic information about the constituent and an instruction/check list.	3-4
		B. Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	5-10
2	Tariff sheet	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	11
3	Policies and Procedures	Document describing significant policies and procedures of Stock Broker.	12-14
4	FATCA		15

### VOLUNTARY AND OPTIONAL DOCUMENTS AS PROVIDED BY THE STOCK BROKER

5	Electronic Contract Note [ECN] - DECLARATION	Consent to Receive Contract Notes, Bills etc. through Email.	16
6	Letter of Authority for dealing & Auto Square off.	Voluntary Document for Member to Reduce Risk of Non Payment of Margin.	17
7	Letter For Running Account	Helps the client to enjoy exposures linked to the credit in the trading account.	18
8	Consent for Transfer of Credits & Settlement For Intra / Inter Segment Inter Exchange	Voluntary Document for the Clients Permission regarding Inter segment and Inter Exchange settlements.	19

### STANDARD DOCUMENTS

9	Risk Disclosure Document (RDD)	Document detailing risks associated with dealing in the securities market	
10	Guidance note	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	
11	Rights and Obligations	Document stating the Rights & Obligations of stock broker/trading member Sub broker, Authorized Person and client for trading on exchanges (including additional rights & obligations in case of internet / wireless technology based trading).	

## KNOW YOUR CLIENT (KYC) APPLICATION FORM

### For Individuals

Please fill this form in ENGLISH and in BLOCK LETTERS.

A. IDENTITY DETAILS												
<b>Name of the Applicant</b>	<i>First Name</i>											
	<i>Middle Name</i>											
	<i>Last Name</i>											
<b>Father's/ Spouse Name</b>	<i>First Name</i>											
	<i>Middle Name</i>											
	<i>Last Name</i>											
<b>Mother's Name</b>	<i>First Name</i>											
	<i>Middle Name</i>											
	<i>Last Name</i>											
<b>Maiden Name</b>												
<b>Gender</b>	<i>Male</i>	<input type="checkbox"/>	<i>Female</i>	<input type="checkbox"/>	<b>Marital Status</b>			<i>Single</i>	<input type="checkbox"/>	<i>Married</i>	<input type="checkbox"/>	
<b>Date of Birth</b>	D	D	M	M	Y	Y	Y	Y	<b>Nationality</b>			
<b>Status</b>	<b>Resident Individual</b>			<input type="checkbox"/>	<b>Non Resident</b>			<input type="checkbox"/>	<b>Foreign National</b>			<input type="checkbox"/>
<b>PROOF OF IDENTITY</b>	<b>PAN</b>											
<b>PROOF OF ADDRESS</b>												
<b>(UID) Aadhaar</b>	<input type="checkbox"/>	<b>Voter ID</b>		<input type="checkbox"/>	<b>Passport</b>			<input type="checkbox"/>				
<b>Driving License</b>	<input type="checkbox"/>	<b>Other</b>		<input type="checkbox"/>								
B. ADDRESS DETAILS												
<b>Address for correspondence</b>												
	<b>City/Town/Village</b>											
<b>State</b>							<b>Pin Code</b>					
<b>Contact Details</b>	<b>Phone (Off.)</b>							<b>Country</b>				
	<b>Phone (Res.)</b>							<b>Mobile No.:</b>				
	<b>Fax</b>							<b>Email id:</b>				

**PHOTOGRAPH**

Please affix your recent passport size photograph and sign across it

1/19

\* Please note that investor will receive alerts on their E-mail/Mobile, directly from stock exchanges for the transactions generated.

<b>Specify the proof of address submitted for correspondence address:</b>			
<b>Permanent Address</b> <i>(If different from above or overseas address, mandatory for Non-Resident Applicant)</i>			
	<b>City/Town/Village</b>		
<b>State</b>		<b>Pin Code</b>	

<b>Specify the proof of address submitted for permanent address:</b>	
--	--

**DECLARATION & SIGNATURE**

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

I/We confirm that details provided by me/us are true and correct. I/We has/have invested or desirous to invest in the Scheme(s) Mutual Fund under Direct Plan and agree to comply with the terms and conditions of the Scheme related documents.

I/We hereby give you my/our consent to share/provide the transactions data feed/portfolio holdings/ NAV etc. in respect of my/our investments under Direct Plan of all Schemes managed by you, to the above mentioned RIA.

2/19 \_\_\_\_\_ 

**Signature of the Applicant**

**Date:** \_\_\_\_\_ **(dd/mm/yyyy)**

<b>FOR OFFICE USE ONLY</b>
----------------------------

- (Originals verified) True copies of documents received
- (Self-Attested) Self Certified Document copies received

\_\_\_\_\_   
**Signature of the Authorised Signatory**

**Date:** \_\_\_\_\_ **(dd/mm/yyyy)**

Seal/Stamp of the intermediary

**TRADING ACCOUNT RELATED DETAILS**

**For Individuals**

**A. Bank Account Details (In order of preference)**

Details	Bank 1	Bank 2
Bank Name		
Branch Address		
Bank A/c Number		
Account Type (SB/CA/NRE/NRO)	SB <input type="checkbox"/> CA <input type="checkbox"/> NRI <input type="checkbox"/> NRO <input type="checkbox"/>	SB <input type="checkbox"/> CA <input type="checkbox"/> NRI <input type="checkbox"/> NRO <input type="checkbox"/>
MICR No.		
IFSC CODE		
Default <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**B. Depository Account(s) Details**

Details	DP 1	DP 2
Depository Participant Name		
Depository Name (NSDL/CDSL)		
Beneficiary Name		
DP ID		
Beneficiary ID (BO ID)		
Default <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**C. OTHER DETAILS (MANDATORY INCOME AND NETWORTH)**

Gross Annual Income Details (Please Specify) Income Range per annum	<input type="checkbox"/> Below Rs. 1 Lacs	<input type="checkbox"/> Rs. 1-5 Lacs
	<input type="checkbox"/> Rs. 5-10 Lacs	<input type="checkbox"/> Rs. 10-25 Lacs
	<input type="checkbox"/> Above Rs. 25 Lacs	

or

Networth as on (date)	D	D	M	M	Y	Y	Y	Y	Amount	
-----------------------	---	---	---	---	---	---	---	---	--------	--

(Net worth should not be older than 1 year)

Occupation (Please tick & give brief details) :	Private Sector <input type="checkbox"/>	Public Sector <input type="checkbox"/>	Government Service <input type="checkbox"/>
	Business <input type="checkbox"/>	Professional <input type="checkbox"/>	Agriculturist <input type="checkbox"/> Retired <input type="checkbox"/>
	Housewife <input type="checkbox"/>	Student <input type="checkbox"/>	Others _____

Name of Employer (If Employed)	
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<b>Name of Establishment (If self employed/ business/professional/others)</b>			
<b>Office Address</b>	<b>City</b>		<b>Pin Code</b>
	<b>State</b>		<b>Country</b>
	<b>Fax No.</b>		<b>Telephone No.</b>
	<b>Please tick, If applicable:</b>		
		Politically Exposed Person (PEP)/ <input type="checkbox"/>	
		Related to a Politically Exposed Person (PEP) <input type="checkbox"/>	
<b>Any other Information</b>			

#### D. TRADING PREFERENCES

*\*Please sign in the relevant boxes where you wish to trade. The segment not chosen should be struck off by the client.*

##### Stock Exchanges & Market Segment on which you wish to trade

Mcx F&O <sup>3/19</sup> <input checked="" type="checkbox"/>	Nse Equity <sup>4/19</sup> <input checked="" type="checkbox"/>	NSE/BSE Currency <sup>5/19</sup> <input checked="" type="checkbox"/>
Ncdex F&O <sup>6/19</sup> <input checked="" type="checkbox"/>	Nse Derivatives <sup>7/19</sup> <input checked="" type="checkbox"/>	Mutual Fund <sup>8/19</sup> <input checked="" type="checkbox"/>
ICEX <sup>9/19</sup> <input checked="" type="checkbox"/>	BSE Equity <sup>10/19</sup> <input checked="" type="checkbox"/>	Date _____ <input checked="" type="checkbox"/>

*# If, in future, the client wants to trade on any new segment/new exchange. separate authorization/ letter should be taken from the client by the stock broker*

#### E. PAST ACTIONS

Details of any action/proceedings initiated/ pending/ taken by SEBI/ Stock exchange/ any other authority against the applicant/ constituent or its Partners/promoters/whole time directors/authorized persons in charge of dealing in securities during the last 3 years

Yes

No

If yes attach annexure giving details.

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


\* If client is dealing through the sub-broker, provide the following details :

<b>Sub-broker's Name</b>			
<b>SEBI Registration Number</b>			
<b>Registered office address</b>			
<b>Phone</b>		<b>Fax :</b>	
<b>Website</b>			



<b>Whether dealing with any other stock broker/ sub-broker (if case dealing with multiple stock brokers/ sub-brokers, provide details of all</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No
	Name of Stock Broker : _____
	Name of Sub Broker if any : _____
	Client Code _____ Exchange _____
	Details of disputes/dues pending from/to such stock broker/sub-broker _____

\* Details of authorised persons to deal in securities on behalf of company firm and others in case of non individual clients

<b>Name of the authorised person</b>	
<b>Designation</b>	
<b>PAN No.</b>	
<b>UID</b>	
<b>Residential Address</b>	_____ _____
<b>Signature</b>	
<b>Any other information</b>	


**G. ADDITIONAL DETAILS**

<b>Mode of receiving contract notes</b> (please tick)	<input type="checkbox"/> Electronic contract note <input type="checkbox"/> Physical contract note
<b>Specify your email ID if applicable</b>	
<b>Whether you wish to avail Internet Trading</b> (Please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Whether you wish to Wireless Technology</b> (Please Specify and Sign)	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>Risk Disclosure Document (RDD)</b>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
<b>Rights and Obligation of Member, AP and Clients</b>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical
<b>Guidance Note Do's and Dont's</b>	<input type="checkbox"/> Electronic <input type="checkbox"/> Physical

**H. NOMINATION DETAILS (for individuals only)**Please tick  I/We wish to nominate  I/We do not wish to nominate

<b>Name of the Nominee</b>	
<b>Relationship with the Nominee</b>	
<b>PAN of Nominee :</b>	
<b>Date of Birth of Nominee</b>	
<b>Address of the Nominee</b>	
<b>Phone No. of the Nominee</b>	



**I. INTRODUCER DETAILS (Optional)**

<b>Name of the Introducer</b>	(Surname) (Name) (Middle Name)
<b>Address</b>	
<b>Phone No.</b>	
<b>Status / Relationship of Introducer with KEDIA COMMODITY COMTRADE PVT. LTD.</b>	<input type="checkbox"/> Authorised <input type="checkbox"/> Sub broker <input type="checkbox"/> Others <input type="checkbox"/> Remiser <input type="checkbox"/> Existing Client Please Specify _____
<b>Signature of the Introducer</b>	

\* If Nominee is a minor, details of guardian

<b>Name of the Guardian :</b>	
<b>Address and Phone No. of Guardian</b>	
<b>Signature of the Guardian</b>	

**\* WITNESSES (Only applicable in case the account holder has made nomination)**

Details	Witness 1	Witness 2
Name		
Signature		
Address		

**DECLARATION**

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

Place \_\_\_\_\_

11/19 \_\_\_\_\_   
Signature of Client/ (all)

Date \_\_\_\_\_

Authorized Signatory (ies)

**FOR OFFICE USE ONLY**

UCC Code allotted to the Client: \_\_\_\_\_

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

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

\_\_\_\_\_   
**Signature of the Authorised Signatory**

**Date**


**Seal/Stamp of the stock broker**

TARIFF SHEET						
Capital Market Brokerage						
Transaction Type	Equity Cash			Equity F&O		
	Intraday (1st Leg)	Intraday (2nd Leg)	Delivery	Futures (1st Leg)	Futures (2nd Leg)	Options
Brokerage Rate (%)						
Currency Market Brokerage						
	Futures ( 1st Leg )		Futures ( 2nd Leg )		Options	
Brokerage Rate (%)						
Commodity Market Brokerage						
	Futures ( 1st Leg )		Futures ( 2nd Leg )		Options	
Brokerage Rate (%)						
Fees to Client						
Upfront Fees						
Annual Advisory Fees Charged Quarterly						

Debit balance will attract the interest @ 21% Per Annum

Tariff Sheet not filled charged as default Brokerage

Default Brokerage will be .05% on both side Intraday,1% on delivery and Rs. 100 on Equity Option and Rs. 250/- on Commodity Options

Signature of the Client : 12/19 

Date:

Seal/Stamp of the stock broker

## POLICIES AND PROCEDURES

### 1. Refusal of orders for Penny Stocks :-

The client is aware and agrees that the stock broker may refuse or restrict client in certain securities depending on various conditions like volume/value/part of illiquid scrips/Z group of securities, although a client may have credit balance or sufficient margin in the trading account. However, stock broker under exceptional circumstances may execute cliental order. The stock broker has the discretion to reject execution of such orders based on its risk perception

### 2. Setting up Client's exposure Limit :-

The client is aware and agrees that the stock broker may set the Exposure limits on the basis of available base capital which may comprise of ledger and stocks (after suitable margin hair cut). The limits may be allowed on a multiplier basis to the available capital or actual VAR margin basis or a specified margin depending on the market conditions.

### 3. Applicable Brokerage rate:-

The stock broker is eligible to charge brokerage with respect to transactions effected by it in various segment as mentioned herein below -

For Capital Market Segment:- The maximum brokerage in relation to trades effected in the securities admitted to dealings on the Capital market Segment of the Exchange shall be 2.5% of the contract price exclusive of statutory levies. It is further clarified that where the sale/purchase price value of a share is Rs.10/- or less, a maximum brokerage of 25 paise per share may be charges.

For Option Contract of Equity, Commodity and Currency Derivative - Brokerage for options contracts shall be charged on the premium amount at which the option contract was bought or sold and not on the strike price of the option contract. The brokerage on option contracts shall not exceed 2.5% of the premium amount or Rs. 100 (per lot) whichever is higher.

The stock broker may charge different Brokerage for Deliverable and Intraday transactions.

The client is aware that any request for change in the brokerage has to send in writing to the Branch who in turn will forward the request to Head Office of the stock broker. Acceptance/ rejection of such request is at the discretion of stock broker.

Other Levies, Charges, Goods and Service Tax (GST) etc. will be charged on Brokerage as per Rules prescribed by the Government / Regulatory Agencies. All the above charges and levies debited to clients would be mentioned in the Contract Note send to client.

### 4. Imposition of Interest on Debits and Margins :-

The Client is required to pay all amounts due to the stock broker on its due date. The amount due to broker shall include all type of margin and pay - in - obligations/settlement Obligation on account of any other reason.

In case the client does not pay the amount due on time, the stock brokershall charge interest on outstanding debits & margins up to the rate of 2% per month on the daily outstanding value or at such rates as may be determined from time to time by the stockbroker. In case of capital Market, F&O and in currency Derivative Segment Wise, Interest will be charged from the time it become due till the time obligation is cleared by the client, on the basis of clear credit available in the account. The objective of charging such an interest is to force a client to clear their dues on time.

The Client here by agrees that he/they will be charged interest on outstanding debits & margins which shall be levied by the stock broker as KEDIA has accepted 100% securities with appropriate hair cut for margin purpose, but has to deploy his own funds/securities (approved) for meeting his/their all type of margin requirements to Exchange(s) as per the applicable norms of the exchange.

The Client is hereby informed that, we as a stock broker are accepting deposits (towards margin) in the form of cash deposits/ exchange approved securities / exchange defined liquid scrips in any one form or combination thereof. Value on non-cash component would be arrived after deducing applicable value at Risk percentage, as prescribed by exchanges/clearing corporation from time to time. So the deposits may comprise of the cash component and non-cash component (after applicable hair cut). Further, client is informed that , Exchange accepts margins from a Trading Member in such form where maximum benefit of non-cash collateral is given to the extent of cash component deposited.

Depending upon the total deposits given by the client, we may be providing exposure to the client as per RMS policy.

Resultant margin requirement should be cleared by the client within prescribed timeframe. Margins can be collected from client both in cash and non-cash component and any shortfall in fulfilment of margin requirement will lead to charging of interest. Client is hereby informed that, we shall be computing interest as under.

If client has made the deposits partially in Exchange Approved Securities and partially in Cash and has a margin requirement, then maximum benefit of Exchange Approved Securities (with higher haircut) would be considered only up to 50% of margin requirement after adjusting available cash component. Therefore, any shortfall in the above explained norm will lead to charging of interest on such shortfall value. This interest is charged as we had to deploy our own funds/securities to meet the shortfall with Exchanges.

Clearing Corporations are reviewing the list of such approved securities on periodic basis and are making the changes from time to time. Hence, clients are requested to refer such list and place such approved securities as collateral to avoid interest charges. The client agrees that the stock broker may impose fines/penalties for any orders/trades of the client which are contrary to this agreement/rules/regulations of the Exchanges and is imposed by the Exchanges/Regulators. Further, under the instances where the stock broker has been penalized from any authority on account of/as a consequence of orders/trades of the client, the same shall be borne by the client.

**5. The right to sell client's securities or close client's positions, without giving notice to the client, on account of nonpayment of client's dues:-**

The Client shall provide timely funds/securities for the purchase/sale of securities to the stock broker for meeting his obligation to the Exchange. . In case of client falling short of providing fund/securities the stock broker has the right to close the positions. The Stock Broker has the right to sell client's securities or close clients position with or without giving prior notice to client on account of nonpayment of dues to the extent of Ledger debit and/or to the extent of Margin obligation. The broker can liquidate the securities bought or collaterals given or any other securities given in any other form for clearing the client's obligation.

**6. SHORTAGES IN OBLIGATION ARISING OUT OF INTERNAL NETTING OF TRADES :-**

The client agrees to the laid down policy and procedure followed for handling shortages arising out of internal netting of trades, as mentioned herein below:

Close out price will be the Highest Weighted Average price for any day recorded in the scrip from the trading day on which the transaction took place up to the day of auction or the closing price on the day of auction, i.e. T+2, whichever is higher + 2% (for NIFTY INDEX scrips) and 5% (for other scrips). (Above defined parameters are subject to change from time to time)

**7. Conditions under which a client may not be allowed to take further position or the broker may close the existing position of a client:-**

The Client shall provide timely funds/securities for the purchase/sale of securities to the stock broker for meeting his obligation In case overall position in a scrip / derivatives contracts have reached the Regulators prescribed Exchange limit/ Market Wide Open Interest limit, then client may not be allowed to take further position, till such time Regulator prescribed limits comes down to create a new position.

Further, the stock broker may close the existing position of a client to the extent of Debit balances to release the Margin from the Exchange. In case if the stock broker has sufficient Margin cover on behalf of its client, it may still decide based on the market conditions and risk perception not to allow further position or may close the existing position of a client.

**8. Temporary Suspension/Closure of Accounts :-**

The client may request the stock broker for temporary suspension/closure of his trading account by sending a written request to Branch. This request will be in turn sent by Branch to Head Office for further processing where after verification of the client details, the trading account of the client will be suspended.

The client would be required to clear all his dues/settlement of obligations before his account is temporarily suspended. The client may also be required to fulfill other conditions, on a case to case basis.

The stock broker can withhold the payouts of client and suspend/close his trading account due to any internal/ regulatory action.

The Customer will be intimated upon Suspension/ closure of trading account.

**9. Deregistering a client :-**

In addition to what the client has agreed in the agreement, the stock broker may terminate a client with immediate effect, but not limited to the following reasons-

If the client is debarred by SEBI or any other regulatory authority.

As a part of surveillance measure, if a client appears to be indulging in manipulative practices.

Under the circumstances when there is a reasonable ground to believe that the client is unable to clear its dues or has admitted its inability to pay its debt.

If the client violates any of the terms of the agreement

**10. Treatment of Inactive Clients :-**

Kedia identifies such client codes/ trading accounts that are inoperative for a minimum period of preceding 18 months.

Accordingly, such trading accounts are made inactive in the Trading System and an email/letter/SMS or by way of any other mode the client is informed about the status of his trading account maintained with us.

Further, if the client has any dues/obligation to Kedia, then any securities bought or collaterals given or any other securities given by the client in any other form for clearing his obligation will be adjusted and the balance would be returned to the client.

For re-activation of such trading account, the client shall be required to make a request to re-open the account and submit all necessary information with regard to updation of his / their KYC requirement. KEDIA upon verifying at its end may activate client's trading code in the Trading System and an email/letter/SMS or by way of any other mode the client is informed about the status of his trading account. Upon re-activation the stock broker may execute the order on behalf of its client.

Also, after reactivation, transactions on the basis of certain parameters are confirmed over telephone with clients, if such transactions are executed after a gap of such period of 18 months. In addition to above, as a part of surveillance if any delivery based sell trades are executed in any account which is inactive for more than six months, there is a proactive calling from head office to check the authenticity of the client and trade.

**11. The Client is informed that Kedia Capital Services Private Limited do not carry Proprietary trading :-**

Client acceptance of policies and procedures mentioned here in above-I/ We have fully understood and agree to sign the same. Above policies and procedures may be amended / changed unilaterally by the stock broker provided the same is intimated via email /writing or reflected in the clients login.

Signature of the Client : 13/19



Date :



### Fatca Details

<b>Are you U.S. Person</b>	YES <input type="checkbox"/> NO <input type="checkbox"/>
<b>Specify country of tax residency</b>	
<b>Specify country of citizenship</b>	
If ticked on "Yes" In Point No.1 and "Specifies countries other than india" in point No.2 and 3 above , please provide below details	
<b>Provide Tax Identification Number</b>	
<b>Specify country of birth</b>	
<b>Specify City of birth and pin code</b>	
<b>Source of Wealth</b>	<input type="checkbox"/> Salary <input type="checkbox"/> Royalty <input type="checkbox"/> Gift <input type="checkbox"/> Rental Income <input type="checkbox"/> Prize Money <input type="checkbox"/> Business <input type="checkbox"/> Other Ancestral Property

**FATCA DECLARATION**

I/We hereby declare, agree and confirm the following:

- a) The details furnished above are true to the best of my knowledge and belief and shall undertake to inform KEDIA CAPITAL SERVICES PRIVATE LIMITED within 30 days in case of any change in the above given status on a future date.
- b) If I/We am/are U.S. Person or tax resident of a reportable foreign jurisdiction (other than U.S.), my account details, would be reported by KEDIA CAPITAL SERVICES PRIVATE LIMITED to the relevant tax authority, or information may be shared with concerned Asset Management Companies (AMCs) or such other product providers, to whom FATCA CRS norms are applicable or to any of the Government Agencies / Tax Authorities / Regulators / Exchanges / Depositories of India or of any country other than India.
- c) If my/our Country of birth is U.S., however, I /We declare that if we are not U.S. person, I/We shall provide a certificate of relinquishment of Citizenship (Loss of nationality) OR a self certification stating reasons for not having such certificate despite relinquishing U.S. Citizenship OR not obtaining U.S. Citizenship at Birth.

Name \_\_\_\_\_

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

Signature :14/19 \_\_\_\_\_

**ELECTRONIC CONTRACT NOTE [ECN] DECLARATION (VOLUNTARY)**

**To,  
KEDIA CAPITAL SERVICES PRIVATE LIMITED**

Off. No. 1 & 2, 1st Floor, Tulip Flower valley,  
Khadakpada Circle, Kalyan (W) 421 301.

Dear Sir,

I, \_\_\_\_\_ with Kedia Capital Services Private Limited Member of MCX, NCDEX, NSE, BSE, ICEX Exchanges undertake as follows.

- I/we am/are aware that the Member has to provide physical contract note in respect of all the trades placed by me/us unless I/we myself/yourself want the same in the electronic form.
- I/we am/are aware that the Member has to provide electronic contract note for my/our convenience on my/our request only. Though the Member is required to deliver physical contract note, I/we find that it is inconvenient for me/us to receive physical contract notes. Therefore, I/we am/are voluntarily requesting for delivery of electronic contract note pertaining to all the trades carried out / ordered by me/us.
- I/we have access to a computer and am/are a regular internet user, having sufficient knowledge of handling the email operations.
- \*My email ID is \_\_\_\_\_
- This has been created by me/us and not by someone else. (\*Email id should be the same as register with me/us)
- I/we am/are aware that this declaration form should be in English or in any other Indian language known to me/us.
- This declaration shall remain valid until it is revoked by me/us.
- **The above declaration has been read and understood by me/us. I/we am/are aware of the risk involved in dispensing with the physical contract note, and do hereby take full responsibility for the same.**

(The above lines must be reproduced in own handwriting of the client.)

Client Name : \_\_\_\_\_

Unique Client Code : \_\_\_\_\_

15/19

Client Signature

Date :

Place:

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**INSTRUCTION FOR CLIENT**

The hard copy of the declaration shall be filled up by the client and submitted to the member along with a signed hard copy of the email i.e. the email via which such ECN declaration form is communicated to the Client

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**FOR OFFICE USE ONLY**

Verification of the client signature done by \_\_\_\_\_  
(Name of the designated officer of the Member)

Signature: \_\_\_\_\_

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

## LETTER OF AUTHORITY FOR DEALING & AUTO SQUARE OFF

To,  
**KEDIA CAPITAL SERVICES PRIVATE LIMITED**  
 Off. No. 1 & 2, 1st Floor, Tulip Flower valley,  
 Khadakpada Circle, Kalyan (W) 421 301.

Dear Sir,

Date:

**Subject : Letter of Authority for Dealing & Auto Square off**

Client Name & Code No :

I/We have been regularly trading and investing, or plan to do so, with MCX/NCDEX/NSE/BSE/ICEX all segment, to facilitate ease of operations, I/We request and authorize you as under

1. My /our orders for purchase / sale of trade will be given on telephone or orally during my/ our visit to your office. I/we further declare that all orders placed by me/us with you will be for Y/our personal / family account(s) and that I/we will not operate for any client and will not issues any further contract/bills for transactions executed through you.
2. **I/We authorize you to square-up the position if my Mark to Mark loss exceeds the limit that is 70% of the total deposit or total fund available in account any time during the trading hours.** We will take note from time to time, for margin utilize by my account and alert you for the same I/We also know that Auto-square will be done directly through the system / computer automatically so I/We will not hold the company Staff/ Dealers or Company responsible for the same.
3. I/We hereby authorize you to liquidate/close out all or my/our positions for non-payment of margins or other account, outstanding debts etc. I/We agree to bear any and all losses and financial charges on account of such liquidation / close-out.
4. I/We agree that you may refuse to execute any particular transaction without assigning any reason therefore.
5. I/We agree not to hold you liable or responsible for delay or default in performance of your obligation due to contingencies beyond your control such as fire, flood, civil commotion, earthquakes, riots, war, strikes, failure of system. Failure of internet links, Government regulatory actions or any such other contingencies which may be beyond your control.

Thanking you,

Unique Client Code : \_\_\_\_\_

16/19

\_\_\_\_\_  
 Client Signature

Date :

Place:

## RUNNING ACCOUNT AUTHORIZATION

Date :

To,  
**KEDIA CAPITAL SERVICES PRIVATE LIMITED**  
 Off. No. 1 & 2, 1st Floor, Tulip Flower valley,  
 Khadakpada Circle, Kalyan (W) 421 301.

I am dealing through you as a client in Commodity / Capital Market and/or Future & Option segment and / or Currency segment & in order to facilitate ease of operations and upfront requirement of margin or trade. I authorize you as under:

1. I request you to maintain running balance in my account & retain the credit balance in any of My account and to use the unused funds towards my margin/pay-in/other future obligation at any segment(s) of any or all the Exchange(s)/ Clearing corporation unless I instruct you otherwise.
2. I request you to retain securities with you for my margin/pay-in/other-future obligation(s) at any segment(s) of any or all the Exchange(s)/Clearing corporation, unless I instruct you to transfer the same to my account.
3. I request you to settle my fund and securities account. Once in every calendar Monthly  Quarterly  (Tick whichever is preferred) or such other higher period as allowed by SEBI/Stock Exchange time to time, as specified by me in your Back office System, except the funds given towards collaterals/margin in form of Bank Guarantee and/or Fixed Deposit Receipt
4. In case I have an outstanding obligation on the settlement date, you may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations for next 5 trading days, calculated in the manner specified by the exchanges.
5. I agree not to claim any interest from you on such securities/ funds so retained by you.
6. I confirm you that I will bring to your notice any dispute arising from the statement of account or settlement so made in writing within 7 working days from the date of receipt of funds/securities or statement of account or statement related to it, as the case may be at your registered office. After that I shall have no right to dispute the transaction, funds and / or securities ever and agree that you shall not be liable for any incidental loss / damage caused due to retention of funds and/ or securities.
7. I confirm you that I can revoke the above mentioned authority at any time by giving a notice in writing to you.

Client Name : \_\_\_\_\_

Unique Client Code : \_\_\_\_\_

17/19

 \_\_\_\_\_  
 Client Signature
 

**LETTER OF AUTHORITY - CASH / F & O / CURRENCY DERIVATIVES /  
COMMODITY SEGMENT OF NSE / BSE / MCX / NCDX / ICEX (VOLUNTARY)**

To,  
**KEDIA CAPITAL SERVICES PRIVATE LIMITED**

Off. No. 1 & 2, 1st Floor, Tulip Flower valley,  
Khadakpada Circle, Kalyan (W) 421 301.

Client Name :

Client Code : \_\_\_\_\_

Dear Sir,

**Sub: Letter of Authority - CASH/F&O / Currency Derivatives Segment of NSE/BSE/MCX/NCDX/ICEX I/We are dealing in securities with you at NSE/BSE /MCX/NCDX/ICEX in cash/Derivative/Currency Derivative segments and in order to facilitate ease of operations, I/We authorize you as under:**

1. I/We authorize you to setoff outstanding in any of our accounts against credits avail arising in any other accounts maintained with you irrespective of the fact that such credits accounts may pertain to transactions in any segment of the Exchange or in any other each = and/or against the value of cash margin or collateral shares provided to you by us.
2. I/We hereby authorize you to keep all the securities which we give you in margin including the payout of securities received by us for meeting margin/other obligations in stock exchanges in whatever manner which may include pledging of shares for meeting margin/pay-in obligations on our behalf.
3. I/We request you to retain credit balance in any of my/our account and to use the idle funds towards our margin/future obligations at any or both the Exchanges unless I/We instruct you otherwise. I/We also authorize you to debit the necessary demat charges from time to time, for keeping the shares in your client demat beneficiary account on my/our behalf. I/We also authorize you to debit the financial charges for the debit balances if any, in my/our account and not settled as per the exchange requirements.
4. I/We request that you may send/dispatch me/us contract notes other documents through E-mail : on my/our designated e-mail address provided to you.
5. I/We am/are agreeable for inter-settlement transfer of securities towards settlements.
6. I/We am/are agreeable for & authorize you to with hold funds pay-out towards all the applicable margins and debits.
7. All fines/penalties and charges levied upon you due to my acts/deeds or transactions may be recovered from my account.
8. I / We have a Trading as well as depository relationship with KEDIA CAPITAL SERVICES PRIVATE LIMITED. Please debit the charges relevant with depository services from my/our trading account. I/We also agree to maintain the adequate balance in my trading account / pay adequate advance fee for the said reasons.

Client Name : \_\_\_\_\_

Unique Client Code : \_\_\_\_\_

18/19

\_\_\_\_\_  
Client Signature

Place

## ACKNOWLEDGMENT

I/We acknowledge receipt of all the document executed by me including the following

1)	Account Opening Form	Page No : 3-10
2)	Tariff Sheet	Page No : 11
3)	Policies and Procedures	Page No : 12-14
4)	FATCA	Page No : 15
5)	Electronic Contract Note [ECN] - DECLARATION	Page No : 16
6	Letter of Authority for dealing & Auto Square off.	Page No : 17
7	Letter For Running Account	Page No : 18
8	Consent for Transfer of Credits & Settlement For Inter segment and Inter Exchange settlements. Intra / Inter Segment Inter Exchange	Page No : 19
9	Acknowledgment	Page No : 20

Name of the Client :

Client Code : \_\_\_\_\_

19/19



\_\_\_\_\_  
Client Signature:

<b>Page Nos.</b>	<b>No. of Signatures</b>
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# INDIA'S 1<sup>ST</sup> UNIFIED STOCK BROKER



**KEDIA | CAPITAL**

**For more details and registration form please contact :**

Office No. 1 & 2, 1st Floor, Tulip Flower Valley, Khadakpada Circle, Kalyan (W) 421 301.

Contact : **Tel.: 0251- 616 1111**

E-mail : [info@kediacapital.com](mailto:info@kediacapital.com) • visit us at : [www.kediacapital.com](http://www.kediacapital.com)