



Invest Today For Your Tomorrow...

InvestMentor Securities Ltd.

Member : NSE • BSE • MSEI • NSDL

ACCOUNT OPENING KIT

Demat A/c. No. : _____

Trading Code No. : _____

Internal Ref. No. : _____

Registered Office :

14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road,
Ahmedabad-380 014. Gujarat India.

Phone : (079) 6915 3600

Website : www.investmentonline.com



Stock Broking Name : InvestMentor Securities Limited

Corporate Office : 14th Floor, Solitaire Sky,
Opp. Gujarat Vidhyapith, Ashram Road,
Ahmedabad-380 014. Gujarat India.

Phone : (079) 6915 3600

Email : support@investmentonline.com

Website : www.investmentonline.com

CEO / COMPLIANCE OFFICER NSE/BSE/MSEI DETAILS :

Detailis	NSE Cash Segment	NSE F&O Segment	BSE Cash Segment	BSE F&O Segment	MSEI Cash Segment	MCX F&O Cash Segment
SEBI Reg. No.	SINGEL REGISTRATION NO. INZ 000260036					
SEBI Reg. Date	14-09-1995	02-06-2000	22-09-2005	25-05-2011	SINGEL REGISTRATION DATE 14-05-2019	
Member Code	07825	07825 (Self Clg. M50576)	03046	03046	21200	21200
Name		E-mail			Phone	
DILIP C. PATEL		dilip@investmentonline.com			(079) 6915 3605	
for any grievance / dispute please contact Investormentor Securities Limited at the above address or email id : grievances@investmentonline.com and phone : 079-6915 3605						
In case not satisfied with the response, please contact the concerned exchange(s) at						
Exchange		E-mail ID			Phone/Fax No.	
NSE		ignse@nse.co.in			18002660050	
BSE		dis@bseindia.com			(022) 22728517	
MSEI		Investorcomplaints@msei.in			(022) 61129143	

CEO / COMPLIANCE OFFICER NSDL DETAILS :

NSDL DP : IN 301233			SEBI Reg. No. : IN-DP-NSDL-113-99		
Name		E-mail			Phone
DILIP C. PATEL		dilip@investmentonline.com			(079) 6915 3605

You may visit www.investmentonline.com to view Soft Copy of Containing Rights & Obligation, Uniform RDD and Guidance Note. Further, the above documents is also made available in vernacular languages, please visit www.investmentonline.com or download from BSE website link : http://www.bseindia.com/investors/client_regislanguages.aspx?expandable=3 Or NSE Website Link : https://www.nseindia.com/membership/content/complinc_trading_mem.htm



ACCOUNT OPENING KIT

INDEX OF DOCUMENTS

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MANDATORY DOCUMENTS AS PRESCRIBED BY SEBI & EXCHANGES			
1.	Account Opening Form (Docket-A)	A.KYC form - Document captures the basic information about the constituent and an instruction/check list. B.Document captures the additional information about the constituent relevant to trading account and an instruction/check list.	1-3
2.	Tariff sheet - Trading (Docket-A)	Document detailing the rate/amount of brokerage and other charges levied on the client for trading on the stock exchange(s).	4
3.	Policies and Procedures (Docket-A)	Document describing significant policies and procedures	5-6
4.	Rights and Obligations (Docket-B)	Document stating the Rights & Obligations of stock broker/trading member, sub-broker and client for trading on exchanges (including additional rights & obligations in case of internet/wireless technology based trading).	Ann-1
5.	Risk Disclosure Document (RDD) (Docket-B)	Document detailing risks associated with dealing in the securities market.	Ann-2
6.	Guidance note (Docket-B)	Document detailing do's and don'ts for trading on exchange, for the education of the investors.	Ann-3
VOLUNTARY DOCUMENTS AS PROVIDED BY THE STOCK BROKER			
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8.	Running Account Authorization & Noting (Docket-C)	Document authorizing the member to maintain running account of client in stead of settlement wise accounting of funds and securities & Intimation to client & noting.	9
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11.	Other Authorization & Confirmation (Docket-C)	SMS & E-mail Alerts, Authorization for Electronic Statements.	12
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CHECKLIST OF ACCOUNT OPENING DOCUMENTS

INDIVIDUAL

Sr. No.	Particulars	Documents	1 st Holder	2 nd Holder	3 rd Holder	Remarks
1	Photograph	Latest Passport size colour photograph of the holder(s) (Mandatory)				
2	PAN Card	Income Tax PAN Card (Mandatory- subject to certain exemptions*)				
3	Proof of Address	UID / AADHAR				
		Election card				
		Passport (Validity should not be over)				
		Driving license (Validity should not be over)				
		Registered Lease or Sale Agreement of residence				
		Insurance Copy / Flat Maintenance Bill				
		Utility bill like telephone bill / electricity bill /gas bill (Not more than 3 months old)				
		Bank account Passbook / Statement (Not more than 3 months old)				
		Self Declaration by Supreme&High Court Judges in respect of their own account				
		Proof of address issued by bank managers of scheduled commercial banks/schedule co operative bank / multinational foreign banks / gazetted officer/notary public/elected representatives to the legislative assembly / parliament / documents issued by govt. or statutory authority				
		Identity card/Documents issued by any of the Institutions like central/state govt.,schedule commercial bank, public financial institution, public sector, colleges affiliated to universities professional bodies such as ICAI, ICWAI, ICSI, Bar council etc. to their members.				
4	Proof of Bank	Cancelled cheque leaf/Copy of cheque (with bank statement/passbook if cheque does not display the name of the holder)		—		
6	Proof of financial information (Any one for trading in derivatives segment)	Copy of ITR acknowledgement				
		Copy of annual accounts				
		Copy of form no.16 / Salary Slip in case of salary income				
		Networth Certificate				
		Salary Slip Last 6 Months				
		Bank account statement for last 6 months				
		Copy of demat account holding statement				
		Any other relevant documents substantiating ownership of assets				
		Self declaration along with relevant supporting				

**Trading Account Related Details (For Individuals & Non-Individuals)****Bank Account Details / Depository Account Details** (Attach proof for all) (S.No. 1 A/c will be default A/c)**Bank Detail**

Account Type	<input type="checkbox"/> Savings	<input type="checkbox"/> Current	<input type="checkbox"/> Cash Credit / Overdrafts
Account No.			
Bank Name			
Branch Address			
	Pin Code	<input type="text"/>	<input type="text"/>
9-Digit Code Number of the Bank and Branch appearing on the MICR cheque issued by the Bank.	<input type="text"/>	<input type="text"/>	<input type="text"/>
IFS Code	<input type="text"/>	<input type="text"/>	<input type="text"/>

* Saving/Current/Others-In case of NRI/NRE/NRO

NO.	DP Name	Depository Name (NSDL / CDSL)	Beneficiary Name	DP ID	Beneficiary ID (BO ID)
1.					

Trading Preference

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

Exchanges	NSE & BSE	
All Segment	Cash / Mutual Fund	F&O

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

C. Other Details (please see guidelines overleaf)1. Gross Annual Income Details (Please tick (3) : ☐ Below 1 Lac ☐ 1-5 Lac ☐ 5-10 Lac ☐ 10-25 Lac ☐ > 25 Lacs
ORNet-worth in ? _____ as on (date)

2. Occupation (Please tick(3) any one and give brief details):

☐ Private Sector Service ☐ Public Sector ☐ Government Service ☐ Business ☐ Professional
☐ Agriculturist ☐ Retired ☐ Housewife ☐ Student ☐ Forex Dealer ☐ Others (Please specify) _____3. Please tick, if applicable: ☐ Politically Exposed Person ☐ Related to a Politically Exposed Person

For definition of PEP, please refer guideline overleaf

4. Any other information: _____

Past Action

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:



ADDITIONAL DETAILS

Whether you wish to receive ☐ physical contract note or ☐ Electronic Contract Note (ECN)

Specify your Email id, if ECN : _____

Whether you wish to receive Docket B containing Rights & Obligation(Including DP and BO), Uniform RDD& Guidance Note in () Physical Form or () Electronic Form at the above Email ID.

Whether you wish to avail of the facility of internet trading/wireless technology/mo bile trading ☐ YES ☐ NO

Number of years of Investment/Trading Experience: _____

In case of non-individuals, name, designation, PAN, UID, signature, residential address and photographs of persons authorized to deal in securities on behalf of company/firm/others:

NA / ANNEXTURE ATTACHED

Any other information: _____

INTRODUCER DETAILS (OPTIONAL)

Name of Introducer :	(First Name)	(Middle Name)	(Last Name)
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Status of the Introducer	Remisier/Authorized Person/Existing Client/Others, please specify
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Address & Phone no of the introducer :	
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Signature of introducer	
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NOMINATION DETAILS (for individuals only)

☐ I/We wish to nominate ☐ I/We do not wish to nominate

Name of the Nominee: _____ Relationship with the Nominee: _____

PAN of Nominee: _____ Date of Birth of Nominee: _____

Address and phone no. of the Nominee: _____

If Nominee is a minor, details of guardian:

Name of guardian: _____ Address and phone no. of Guardian: _____

Signature of Guardian

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

Name _____ Name _____

Signature _____ Signature _____

Address _____ Address _____

DEALINGS THROUGH AP AND OTHER STOCK BROKERS

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

Sub-Broker's Name: _____ SEBI Registration number: _____

Registered office address: _____

Ph: _____ Fax: _____ Website: _____

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

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: _____

**FATCA - CRS Declaration**☐ Applicable under FATCA Act* ☐ Not Applicable under FATCA Act

If yes, then fill up the Additional form.

B* FATCA - The Foreign Account Tax Compliance Act is a United States federal law requiring United States persons(including those living outside the U.S.A.) to have yearly reported themselves and their non-U.S.financial accounts to the Financial Crimes Enforcement Network (FINCEN).

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

Date Place **Client
Signature****X2****FOR OFFICE USE ONLY**

UCC Code allotted to the Client: _____

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

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

Signature of the Authorised Signatory

Date

Seal/Stamp of the stock broker

**TARIFF SHEET FOR TRADING ACCOUNT****A. Brokerages**

SLAB	TRADING		DELIVERY	
	MIN	PER.	MIN	PER.
NSE/BSE 1 SIDE				
MSEI 2 SIDE				

	F & O	
	TRADING	
	MIN	PER.
F & O 1 SIDE		
2 SIDE		
OPTION PER LOT		

B. Statutory Levies

Following statutory levies shall be levied as applicable from time to time.

1. Security Transaction Tax
2. SEBI Turnover Fees
3. Exchange Transaction Charge
4. Stamp Duty
5. Goods and Service Tax (GST)
6. KYC Registration Charge
7. Clearing charges, if any

C. Penalty

Penalties levied by exchange, SEBI and other authorities due to act of client are recovered from the client s. Such penalty may include, Short Margin Penalty, Auction Penalty Charges, Code Modification Penalty, etc.

D. Other Charges

1. Please note that the brokerage levied to your trading account shall be higher at brokerage value as per the existing rates or ` 20 per settlement/segment. Subject to the maximum rates prescribed by the regulation(s) by the regulator(s) from time to time.
2. Demat Charges ` 12/-per instruction
3. Client Cheque Dishonour Charges ` 300/- or Actual whichever is higher per actual instance.

E. Apart from above, delayed payment charges as per policy and procedures under mandatory document forming part of KYC documents would also apply.

InvestMentor Securities Ltd. reserves the right to revise the Tariff structure, by publishing / displaying the same on it s website www.investmentonline.com

Client Signature	X3
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Mandatory Document dealing with Policy and Procedures

1. Refusal to Take Orders

The Client undertakes and agrees that member, may, as a risk containment measure, at any time, at its sole discretion, and without prior notice, prohibits, restricts or refuse the clients' ability to place order or trade in penny stocks or such other illiquid stocks/contracts, as specified by Member/Exchange, through the Member. The Client waives any and all claims for loss or damage arising directly or indirectly from any such refusal.

2. Exposure Limits

The client agrees and confirms to abide by the exposure limits, if any, set by Member or by the exchange or Clearing Corporation or SEBI from time to time.

The Member may from time to time, at its sole discretion, impose and vary limits on the orders that the client place (including but not limited to exposure limits, turnover limits, limits as to number, value and / or kind of securities / contracts in respect of which buy or sell orders can be placed etc.) The client is aware and agree that the stock broker/trading Member may need to vary or reduce the limits or impose new limits urgently on the basis of Member's risk perception and other factors considered relevant by Member and Member may be unable to inform to the client of such variation, reduction, imposition in advance. The client agrees that the Member shall not be responsible for such variation, reduction and imposition of limits.

3. Brokerage Rate

The Client confirms and agrees that the brokerage shall be paid in the manner intimated by the Member to the client from time to time, including as a percentage of the value of the trade or as a flat fees or otherwise, together with the service tax as may be applicable from time to time on the same.

The Client hereby agrees to the following brokerage slabs/rates which do not exceed the maximum limits prescribed by the SEBI and stock exchanges.

4. Delayed Payment Charges

The client understands and agrees that applicability of delayed payment charge by either party is solely at the discretion of the Stock Broker.

Without prejudice to margin funding guidelines issued by SEBI, any amounts which are overdue from a client toward settlement obligation or margin obligation either in cash segment and/or derivative segment, may attract delayed payment charges at the rate of 1.5 % per/month or part thereof or such other rate as may be determined by the stock broker.

In case client has not opted for running account maintenance, any amount which are overdue from a stock broker towards settlement pay out after meeting all pending settlement / margin obligations or dues, may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the stock broker.

In case client has opted for running account maintenance, any amount which the client has demanded, in writing, from a member out of the available undisputed credit balance in client ledger maintained by the member or such amount which is required to be settled on the monthly / quarterly basis after meeting settlement and/or margin obligation and making provision for next 5 trading day settlement and / or margin obligation, calculated in the manner specified by the exchanges may attract delayed payment charges at the rate of 1.5 % per month or part thereof or such other rate as may be determined by the stock broker.

5. Liquidation/close-out of positions:

Without prejudice to the member's other rights (including the right to refer a matter to arbitration), the Member shall be entitled to liquidate / close out all or any of the Client's positions for nonpayment of margins or settlement obligation after giving prior notice. Any and all losses and financial



charges on account of such liquidation / closing-out shall be charged to and borne by the Client.

6. Internal Shortage

In case of purchase of securities by the Client, at times Member may be unable to deliver the securities to the said purchaser on the pay out day due to non receipt of the said securities from another Client of Member who has sold the securities against the said purchase transaction. In such cases, member may buy the shares from the market on T + 3 day and deliver the same to the client or he may give close out at the rate as determined by the member.

7. Close out in case of internal Shortages:

The Client hereby agrees that if he/she/it has short delivered any securities against his/her/ its pay-in- obligation which resulted into internal shortage (i.e. buy position of another client of Member and could not be auctioned in the market), close out shall be debited to his account at the rate which is in the range of 2% to 20% above the purchase price or the closing price on auction day or such other percentage as may be determined by the Member.

8. Restrictions/Prohibition to take further position or closing existing position

The Member may, in its sole discretion, not allow taking further position to the client or may close the existing position of a client due to any restrictions in relation to volume of trading / outstanding business or margins stipulated by the exchange, clearing corporation/ clearing house and/or the Member and /or any other extraordinary event warranting such restrictions. The Client waives any and all claims for loss or damage arising directly or indirectly from any such restrictions.

9. Suspension / Closure at the client's request

The Client may suspend or close his/her/its trading account temporarily by giving written request to the member. Such temporary closing or suspending of trading account will not affect the rights and obligation incurred

prior to such suspension or closure. Any request for temporary suspension or closure shall not be processed by the member unless all the dues are paid by the client.

10. Deregistering the Client

The Member may, at its sole discretion, deregister clients' account to protect his interest which might include (but not limited to)

- i. Member is compelled to by law;
 - ii. Client has not used account for a significant period of time;
 - iii. Member has reasons to believe that account is being used for fraudulent purposes.
 - iv. Any other reason which member thinks reasonable for deregistering the account.
- The Client waives any and all claims for loss or damages arising directly or indirectly from such deregistering. The deregistering will not affect any liability of the Client resulting directly or indirectly from any transactions made at any time before such deregistering.

11. Policy for in active Clients

In case client has not used his account for a period exceeding 6 months but not later than 2 years, then his account shall be free zed for further trades and the said account shall be re-activated only after client gives account reactivation request along with proofs, if any, required. Further if client has not used his account for more than 2 years, his account shall be deregistered and his account shall be re-activated only after proper recording of reason for such non use and after taking all the required proof.

Further, if any changes are made in the above policy and procedures, the same are updated on our website www.investmentoronline.com. Hence, Clients are requested to visit the same for further changes.

Client Signature	X4
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ADDITIONAL TERMS & CONDITIONS FOR SMOOTH OPERATIONS AND COMPLIANCE

(Please strike out the non-mandatory clauses that are not agreed to between stock broker/trading member and the client)

I, voluntarily and unconditionally hereby state and declare that I/We have read and understood the terms and conditions mentioned hereinafter governing securities trading and broking services of member InvestMentor Securities Limited (hereinafter referred to as IMSL) and agree to be bound by the same.

1. Internet Based Trading Services: E-Broking Services, Wireless Securities Trading & Dial & Trade Services

(i) The CLIENT is aware that authentication technologies and strict security measures are required for the internet trading through order routed system and undertakes to ensure that the password of the CLIENT and/or his authorized representative are not revealed to any third party.

(ii) The CLIENT agrees that the STOCK BROKER/TRADING MEMBER shall not be liable or responsible for non-execution of the orders of the CLIENT due to any link/system failure at the CLIENT/ STOCK BROKERS /TRADING MEMBERS/ EXCHANGE end.

2. Electronic Payment Gateway for Net Banking Services:

Electronic Payment Gateways provided by various banks for facilitating transfer of funds from Client's bank account to the account of the client with IMSL. Client understands that IMSL is only providing access to the electronic fund transfer facility provided by the banker of the client through IMSL's website by means of an interface and it is not liable or responsible for the proper functioning or otherwise of the Gateway or for any transaction errors, losses, malfunctioning or hacking of the system by unscrupulous elements, frauds, and/or any incidental or consequential claims arising there out. Client undertakes not to make IMSL a party to any litigation, claim, dispute, difference or complaint that the Client may initiate in respect of, arising out of or in connection with any transactions on the Gateway and agrees that IMSL's liability shall at all time be limited to the amount actually received in its account by electronic transfer from client's account with the bank

3. PMLA Declaration: I declare that I have read and understood the contents and the provisions of the PMLA Act, 2002, which were also explained to me by IMSL. officials. I further declare that I shall

adhere to all the provisions of PMLA Act, 2002. I further undertake and confirm that;

a. I do not have any links with any known criminal

b. I am a genuine person and not involved or indulge knowingly or assisted, directly or indirectly, in any process or activity connected with the proceeds of crime nor I am a party to it. The investment money is derived from proper means and does not involve any black or Hawala money in any manner.

4. Order Placement Instructions: I understand that you require written instructions from me for placing / modifying / cancelling orders. However, since it is not practical for me to give written instructions for placing/modifying/cancelling order. Even If I have facility to trade online through Internet and wireless technology, I may have to place orders by physically visiting/calling/ Emailing the Call centre / branch specified for the said purpose by IMSL in case of breakdown of internet connectivity or other similar reasons. I hereby request you to kindly accept my, my authorized representative or mandate holder's verbal orders/instructions, in person or over phone and execute the same. I understand the risk associated with placement of verbal orders and accept the same. I shall not disown

orders under the plea that the same were not placed by me provided I am sent ECN/Physical contract notes or trade confirmations through SMS and other modes. I indemnify IMSL. and its employees against all losses, damages, actions which you may suffer or face, as a consequence of adhering to and carrying out my instructions for orders placed verbally.

5. Errors and Omissions: I understand and agree that inadvertent errors may occur, while executing orders placed by me. In such circumstances IMSL. shall make all reasonable efforts to rectify the same and ensure that I am not put to any monetary loss. I understand and agree that I shall not hold IMSL. responsible beyond this and claim additional damages/loss. I understand and agree that my request to modify or cancel the order shall not be deemed to have been executed unless and until the same is confirmed by IMSL..

6. Extra Ordinary Events and

termination/suspension of trading facility: IMSL will not be liable for losses caused directly or indirectly by government restriction, Exchange rulings, suspension of trading, computer, communication, telephone or system failure, war, earthquake, flood, accident, power failure, equipment or software malfunction, lack of connectivity, congestion or disruption of



caused due to suspension, interruption, or malfunctioning of the trading services, disruptions or congestion of communication networks, hardware or software problems. Or failure of the electronic trading system generally in any manner due to one or the other reasons beyond the control of IMSL or the Exchange.

8. Client not to act representations of agents, employees: Client is aware that IMSL has not authorized any agents, representatives, employees or other persons to make any representation, or to give any promise, assurance, warranty, undertaking or commitment as to return on investment of the client whether in writing or otherwise on behalf of IMSL.

9. Indemnification: I hereby indemnify and hold IMSL., its Directors and employees harmless from and against all claims, demands, actions, proceedings, losses, damages, liabilities, charges and/or expenses that are occasioned or may be occasioned to the IMSL. directly or indirectly, relating to bad delivery of shares/ securities and/ or third party delivery, whether authorized or unauthorized and fake/forged/stolen shares/ securities/transfer documents introduced or that may be introduced by or through me during the course of my dealings/ operations on the Exchange(s) and/ or proof of address, identity and other supporting/ documents provided by me at the time of registration and/ or subsequently.

10. Indemnity of Joint Holdings: I hereby agree to indemnify and hold the IMSL harmless from any claims, demands, actions, proceedings, losses, damages, liabilities, charges, and/or expenses arising from transactions in securities held jointly by me with any other person or persons, if any.

11. Mutual Fund Service System (MFSS) Facility: I am interested in availing the MFSS facility of the Exchange for the purpose of dealing in the units of Mutual Funds Schemes permitted to be dealt with on the MFSS of the Exchange. For the purpose of availing the MFSS facility, I state that "Know Your Client" details as submitted by me for the opening of Trading Account may be considered for the purpose of MFSS and I/we further confirm that the details contained in same remain unchanged as on date. I am willing to abide by the terms and conditions as has been specified and as may be specified by the Exchange from time to time in this regard. I shall ensure also compliance with the requirements as may be specified from time to time by Securities and Exchange Board of India and Association of Mutual Funds of India (AMFI). I shall read and understand the contents of the of the Scheme Information Document and Key Information Memorandum, addenda issued regarding each Mutual Fund Schemes with respect to which I choose to subscribe/redeem. I further agree to abide by the terms and conditions, rules and regulations of the respective Mutual Fund Schemes subscribed by me.

12. NRI Declaration: I understand that if the sole/first applicant has or attains NRI Status, investments in scheme of mutual funds can be made only upon providing Foreign Inward Remittance Certificate (FIRC) to IMSL. every time the investment is made.

13. Third- Party Payments: IMSL. shall have the prerogative to refuse payments received from any bank account where the client is not the first holder or which is not mentioned in the KYC or which the client has not got updated subsequently by submitting a written request

along-with adequate proof thereof as per Performa prescribed by IMSL. IMSL Shall not be responsible for any loss or damage arising out of such refusal of acceptance of payments in the situations mentioned above. However, due to oversight, if any such third-party payment has been accepted by IMSL. and the credit for the same has been given in the client's ledger, IMSL. shall have the right to immediately reverse such credit entries on noticing or becoming aware of the same. In such a case, IMSL. reserves the right to liquidate any of the open positions and/or any of the collaterals received/ held on behalf of the client. IMSL., its Directors and employees shall not be responsible for any consequential damages or losses.

14. No Dealings In Cash: IMSL. as a policy neither accepts any funds for pay-in/margin in cash nor makes any payment or allows withdrawal of funds in cash. No claim will be entertained where the client states to have made any cash payment or deposited cash with any Branch/Sub-Broker/Remisier/Employee/Authorised Person of IMSL.

15. No Market Manipulation: I undertake not to execute transactions, either singly or in concert with other clients, which may be viewed as manipulative trades viz. artificially raising, depressing or maintaining the price, creation of artificial volume, synchronized trades, cross trades, self trades, etc or which could be termed as manipulative or fraudulent trades by SEBI/Exchanges. In case I am found to be indulging in such activities, IMSL. has every right to inform the Exchange/SEBI/other regulatory authority of the same and suspend/close my trading account.

16. Authorization to debit additional charges with regard to trading and Demat Account: Without prejudice to the other rights and obligations of the parties, the client understands and agrees that IMSL may levy charges including Annual Maintenance Charges and all transaction charges with respect to clients Demat account for any services rendered by IMSL and as may be requires by the client, and recover from the client all reasonable costs, as may be incidental or consequential for rendering the said services. The said charges will be debited to the client's trading ledger account maintained with IMSL for the demat charges payable to IMSL as Depository for providing depository services.

17. Authorization for inter Segment/inter Exchange Fund Balance Transfer: The Client hereby authorizes IMSL to transfer fund/pay out resulting on account of sale of shares/contract/or margin refunds from NSE/BSE/MSEI and adjust the same towards debit balances in any segment of NSE/BSE/MSEI. Further, I/We hereby authorize to consider credit available in one segment/exchange toward margin/settlement obligation In another exchange/segment with or without passing journal entries.

18. Deliveries: The client shall ensure that the shares are properly transferred to the designated demat account of IMSL., for effecting delivery to the Exchange against the sale position of the client. Such transfers shall be entered by the client within the time specified by SEBI/Exchanges/ IMSL. In case the client fails to transfer the shares on time to IMSL.. IMSL. shall not be responsible for any loss/damages arising out of such delayed transfers.

Client
Signature

X5



RUNNING ACCOUNT AUTHORIZATION

I/We hereby authorize(s) the MEMBER to maintain running account, instead of settlement to settlement clearance of funds / securities due to me/us.

The payout of funds / securities may be retained by the MEMBER and no interest shall be payable, by the MEMBER on such securities / funds so retained.

I/We also authorize(s) the MEMBER to consider the funds/securities so retained by the MEMBER towards collateral margin for allowing enhanced gross exposure to me/us.

I/We agree(s) that the MEMBER shall not be liable for any claim for loss of profit, or for any consequential, incidental, special or exemplary damages, caused by retention of such securities / funds under this document or otherwise.

On written request of the CLIENT the MEMBER may release funds/securities to him, if sufficient margins in respect of his trading, across the Stock Exchange(s) and across the segments of the stock exchange(s) are available with the MEMBER, within one working day of the request if the same are lying with him and within three working days from the request if the same are lying with the Clearing Member/Clearing Corporation..

Notwithstanding anything contained in this

authorization, the actual settlement of funds and securities, except for funds received from the clients towards collaterals/margin in the form of bank guarantee (BG)/Fixed Deposit receipts (FOR), shall be done by the member, at least once in a calendar ☐ **Quarter** or ☐ **Month (Tick applicable)**. For the clients having outstanding obligations on the settlement date, the Member may retain the requisite securities/funds towards such obligations and may also retain the funds expected to be required to meet margin obligations as per SEBI/Exchange guideline. There shall be no inter-client adjustments for the purpose of settlement of the 'running account'.

To avoid the administrative/operational difficulties in setting my/our account, I/We request you to retain an amount of up to 10,000/- (Rupees Ten Thousand Only) (net amount across segment and across stock exchanges) as per SEBI and Exchange directives.

This authorization may be revoked at any time by me/us by giving written notice to the member.

Date of Authorization

Client Signature X6

(To be signed by client himself and not by any authorised person on his behalf or holder of the Power of Attorney)

INTIMATION TO CLIENTS AND NOTING-MANDATORY

To,
Investmentor Securities Limited, Ahmedabad
Sir(s),

Re. : Confirmation of noting

We confirm that we have made note of the following:

1. That you trade in your OWN/PRO account
2. That your investor grievance email ID is grievances@investmentoronline.com
3. That I have read all the mandatory and voluntary terms and conditions and do consent for the same.
4. That we have to furnish/update Financial Details every year to the Member as per SEBI / PMLA requirement.
5. That I / We have read / understood the Anti Money Laundering Policy & Procedure and I know that the same is made available on your website www.investmentoronline.com.
6. That I / We agree/s that I / We am / are responsible for clearing out my debit ledger balance to NIL at least once in every month / quarter.
7. That any Voluntary terms and conditions which is in violation of exchange / SEBI rules and regulations and circular issued from time to time shall become null and void.

Thank you

Client Signature X7

Place :

Date

**(A) Consent to debit trading account of client for DP charges and levies in demat account or otherwise.**

To,

InvestMentor Securities Limited

Registered Office :

14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road,
Ahmedabad-380 014. Gujarat India.

Dear Sirs,

I/We hereby authorise you to recover the debits in my demat account(s) maintained with you (DP ID IN 301233) from the credits in my/our trading account code

(B) SMS Authorisation

I/We do hereby declare and confirm to receive SMS about my/our position, margin, ledger balance and such other brief information as may be voluntarily sent / provided by you on my/our mobile as mentioned in KYC form. In case of any change therein, I/We shall promptly communicate in writing to you about the same.

(C) Please tick mark the additional applicable category to you

- ☐ Non resident client
- ☐ High net-worth client (Having annual income + networth of more than ₹ 1 crore)
- ☐ Trust, Charities, NGOs and organizations receiving donations
- ☐ Company having close family shareholdings or beneficial ownership
- ☐ Civil Servant or family member or close relative of civil servant
- ☐ Bureaucrat or family member or close relative of bureaucrat
- ☐ Current or Former MP, MLA or MLC or their family member or close relative
- ☐ Politician or their family member or close relative
- ☐ Current or Former Head of State or of Governments or their family member or close relative
- ☐ Senior government/judicial/military officers or their family member or close relative
- ☐ Senior executives of state-owned corporations or their family member or close relative
- ☐ Companies offering foreign exchange offerings
- ☐ None of the above

(D) I/We do hereby authorise you to pass Intersegment / Exchange journal entries for operational convenience.**(E) I/We request to enable RTGS / NEFT facility in the bank account provided herein.**

Client Signature X8

Place :

Date



ANTI MONEY LAUNDERING - BRIEF

- Money Laundering can be defined as engaging in financial transactions that involve income derived from criminal activity, transactions designed to conceal the true origin of criminally derived proceeds and appears to have been received through legitimate sources/origins.
- "Know Your Customer" (KYC) is the guiding principle behind the Anti-Money Laundering (AML) measures. This is required to identify who is the actual beneficial owner of the securities transaction or for whom and/or on whose behalf transaction is conducted.
- The Trading Member adopts such policies or may resort to such measures as to establish the credentials of the Client's database submitted.
- Periodically, as and when the trade volumes register a hike and profits cross the limit vis-à-vis the financial status of the client produced with documentary evidence, the member reserves the right to probe a channel or source from which the client is receiving funds to carry on the trade. In such an event the authenticity or otherwise of the source of funds is established and if the source is proved to be questionable the client will be disabled from carrying on further trade and this agreement becomes void.
- Trading Member believes that each and every transaction done by the client is genuine. If any discrepancy is noticed in the transaction at any point of time later the management has every right to detect such discrepancy in order to take preventive/corrective measure, which include sending confidential, reports to the concerned authorities under the law. If malpractice continues in the trade even after sufficient educational advice has been given to the client, the client runs the risk of losing his trading rights, may be for a brief period or sine die.
- The Client must furnish all required information such as financial statements, any other information relevant as may be required for following Anti Money Laundering Standards.

FOR OFFICE USE ONLY

Risk Categorisation

☐ Low ☐ Medium ☐ High

CSC

☐ Yes ☐ No

**Employee
Signature**

SUB BROKER USE

REMISIER CODE : _____

REMISIER SCHEME : _____

MAPPING CTCL / NOW USER CODE : _____

BROKERAGE SLAB : _____ (IF DEFINE)

Branch Code :

Family Code :

Date

X

Authorised Signature

**SMS AND EMAIL ALERTS FACILITY**

To,

InvestMentor Securities Limited**Registered Office :**14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road,
Ahmedabad-380 014. Gujarat India.

Dear Sir,

Sub : SMS and Email alerts facility by Stock Exchanges

I/We are aware that the stock exchanges have commenced a process of confirming to investors details of their transactions carried out through stock brokers vide SMS and Email alerts on mobile and email I'd of the investor respectively.

Accordingly I/We record our consent to receive the following:

1. SMS alerts ☐ Yes ☐ No
2. Email alerts ☐ Yes ☐ No
3. SMS and email alerts ☐ Yes ☐ No

I/We provide herewith the mobile number and email I'd for receiving the details of the transactions:

Mobile No.	
Email id	

Registered in the name of ☐ Self ☐ Others

In case registered in the name of any other person please specify the following:

Name of the person : _____

Relationship with the Client ☐ Spouse ☐ Dependant Child ☐ Dependant parent

I/We also understand that stock brokers are required to provide information of mobile no and email I'd to stock exchanges for their clients to avail this facility and I/We hereby authorise **InvestMentor Securities Limited** to provide such information to stock exchanges.

I/We understand and agree that **InvestMentor Securities Limited** may at its discretion conduct necessary checks to ascertain that the mobile number and email I'd above belong to me/us before passing on information to the stock exchanges. Further, I/We understand and agree that stock exchanges may also carry out necessary checks as they deem fit before enabling such facility to me/us.

I/We understand and agree that **InvestMentor Securities Limited** is merely facilitating transmission of information in order that I/We are able to avail this facility and undertake to indemnify **InvestMentor Securities Limited** its employees and its affiliates from any losses/claims/damages that may arise in this regard

Yours faithfully

Name of Client _____

Client Signature	X9
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InvestMentor Securities Ltd.

Member : NSE • BSE • MSEI • NSDL DP ID : IN 301233

Registered Office :

14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road,
Ahmedabad-380 014. Gujarat India.

Phone : (079) 6915 3600 • Email : support@investmentonline.com • Website : www.investmentonline.com

DEPOSITORY ACCOUNT OPENING FORM FOR INDIVIDUAL

Please provide Trading A/c. Code		Client-Id (Account No.) (To be filled by Depository)	
I/we request you to open a depository account in my/our name as per the following details:		Date :	<div>D</div> <div>D</div> <div>M</div> <div>M</div> <div>Y</div> <div>Y</div> <div>Y</div> <div>Y</div>

DETAILS OF ACCOUNT HOLDER(S) (PLEASE FILL ALL THE DETAILS IN CAPITAL LETTERS ONLY)

	Name (s) of holders (s)	PAN
Sole/First Holder		<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
Second Holder		<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
Third Holder		<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>

TYPE OF ACCOUNT

☐ Ordinary Resident
 ☐ NRI-Repatriable
 ☐ Promoter
 ☐ Margin
 ☐ Qualified Foreign Investor
☐ Basic Service Demat Account (BSDA)
 ☐ NRI-Non-Repatriable
 ☐ Foreign National
 ☐ HUF
☐ Rajiv Gandhi Equity Savings Scheme (RGESS)
 ☐ Others (please specify)

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 & PAN of the HUF, Association of Persons (AOP), Partnership Firm, Unregistered Trust, etc., should be mentioned below:

Name		PAN	<div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div> <div></div>
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OCCUPATION DETAILS

Occupation Details : (Tick whichever is applicable) **SOLE/FIRST HOLDER**

☐ Private Sector
 ☐ Public Sector
 ☐ Government Service
 ☐ Business
 ☐ Professional
☐ Agriculturist
 ☐ Retired
 ☐ House Wife
 ☐ Student
 ☐ Others _____

Occupation Details : (Tick whichever is applicable) **SECOND HOLDER**

☐ Private Sector
 ☐ Public Sector
 ☐ Government Service
 ☐ Business
 ☐ Professional
☐ Agriculturist
 ☐ Retired
 ☐ House Wife
 ☐ Student
 ☐ Others _____

Occupation Details : (Tick whichever is applicable) **THIRD HOLDER**

☐ Private Sector
 ☐ Public Sector
 ☐ Government Service
 ☐ Business
 ☐ Professional
☐ Agriculturist
 ☐ Retired
 ☐ House Wife
 ☐ Student
 ☐ Others _____

GROSS ANNUAL INCOME DETAILS (Please Specify) FIRST HOLDER

Income Range (Per Annum)
☐ Below Rs. 1 Lac
 ☐ Rs. 1 to Rs. 5 Lac
 ☐ Rs. 5 to Rs. 10 Lac
 (Tick where applicable)
 ☐ Rs. 10 to Rs. 25 Lac
 ☐ More Than Rs. 25 Lac
 OR
Net Worth as on (Date) _____ **Rs.** _____ (Net worth Should not be older than 1 year)

GROSS ANNUAL INCOME DETAILS (Please Specify) SECOND HOLDER

Income Range (Per Annum)
☐ Below Rs. 1 Lac
 ☐ Rs. 1 to Rs. 5 Lac
 ☐ Rs. 5 to Rs. 10 Lac
 (Tick where applicable)
 ☐ Rs. 10 to Rs. 25 Lac
 ☐ More Than Rs. 25 Lac
 OR
Net Worth as on (Date) _____ **Rs.** _____ (Net worth Should not be older than 1 year)

GROSS ANNUAL INCOME DETAILS (Please Specify) THIRD HOLDER

Income Range (Per Annum)
☐ Below Rs. 1 Lac
 ☐ Rs. 1 to Rs. 5 Lac
 ☐ Rs. 5 to Rs. 10 Lac
 (Tick where applicable)
 ☐ Rs. 10 to Rs. 25 Lac
 ☐ More Than Rs. 25 Lac
 OR
Net Worth as on (Date) _____ **Rs.** _____ (Net worth Should not be older than 1 year)



IN CASE OF NRIS / FOREIGN NATIONALS																					
RBI Approval Reference Number																					
RBI Approval date																					
BANK DETAILS																					
<input type="checkbox"/> Savings				<input type="checkbox"/> Current A/c. No.				<input type="checkbox"/> Others (Please specify) _____													
Bank Account No.																					
Bank Name																					
Branch Address																					
				City / Town / Village																	
Pin Code								State						Country							
9-Digit Code Number of the Bank and branch appearing on the MICR cheque issued by the Bank.																					
IFSC Code																					
Please tick, if applicable : <input type="checkbox"/> Politically Expised Person (PEP) <input type="checkbox"/> Related to a Politically Expised Person (PEP)																					
STANDING INSTRUCTIONS																					
I/we authorise you to receive credits of securities automatically into my/our account.																Yes <input type="checkbox"/> No <input type="checkbox"/>					
Account to be operated through Power of Attorney (PoA)																Yes <input type="checkbox"/> No <input type="checkbox"/>					
Deliver Instruction Slip to receive at the time of account opening																Yes <input type="checkbox"/> No <input type="checkbox"/>					
SMS ALERT FACILITY																					
[Mandatory if you are giving Power of Attorney (PoA). Ensure that the mobile number is provided in the KYC Application Form]																					
Sr. No.	Holders												Yes	No							
1	Sole/First Holder												<input type="checkbox"/>	<input type="checkbox"/>							
2	Second Holder												<input type="checkbox"/>	<input type="checkbox"/>							
3	Third Holder												<input type="checkbox"/>	<input type="checkbox"/>							
4	Mode of Receiving Statement of Account (Tick any one)						<input type="checkbox"/> Physical Form <input type="checkbox"/> Electronic Form (Read Note 3 and ensure that email ID is provided in KYC Application Form).														
GUARDIAN DETAILS (WHERE SOLE HOLDER IS A MINOR)																					
[For account of a minor, two KYC Application Forms must be filled i.e. one for the guardian and another for for the minor (to be signed by guardian)]																					
Guardian Name																					
PAN																					
Relationship of Guardian with minor																					

**ANNEXURE-A Nomination Form**

[Annexure A to SEBI Circular No. SEBI/HO/MIRSD/RTAMB/CIR/P/2021/601 dated July 23, 2021 on Mandatory Nomination for Eligible Trading and Demat Accounts]

TM / DP IN 301233		FORM FOR NOMINATION <i>(To be filled in by individual applying singly or jointly)</i>																								
Date									UCC/ DP ID	I	N	3	0	1	2	3	3	Client ID								
I/We wish to make a nomination [As per details given below]																										
Nomination Details																										
I/We wish to make a nomination and do hereby nominated the following person (s) who shall receive all the assets held in my / our account in the event of my / our death																										
Nomination can be made upto three nominees in the account										Details of 1st Nominee						Details of 2nd Nominee				Details of 3rd Nominee						
1	Name of the nominee(s) (Mr/Ms)																									
2	Share of each Nominee		Equally [If not equally please specify percentage]							%						%				%						
Any odd lot after division shall be transferred to the first nominee mentioned in the form																										
3	Relationship With the Applicant (If Any)																									
4	Address of Nominee(s)																									
City / Place State & Country																										
PIN Code																										
5	Mobile / Telephone No of nominee(s)																									
6	Email ID of nominee(s)																									
7	Nominee Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Proof of Identity <input type="checkbox"/> Demat Account ID																									
Sr Nos 8-14 should be filled only if nominee(s) is a minor																										
8	Date of Birth {in case of minor nominee(s)}																									
9	Name of Guardian (Mr/Ms) {in case of minor nominee(s)}																									
10	Address of Guardian(s)																									

X10
SIGNATURE OF SOLE/FIRST HOLDER

X10
SIGNATURE OF SECOND HOLDER

X10
SIGNATURE OF THIRD HOLDER



	City / Place State & Country						
		PIN Code					
11	Mobile / Telephone no of Guardian						
12	Email ID of Guardian						
13	Relationship of Guardian with nominee						
14	Guardian Identification details - [Please tick any one of following and provide details of same] <input type="checkbox"/> Photograph & Signature <input type="checkbox"/> PAN <input type="checkbox"/> Aadhaar <input type="checkbox"/> Saving Bank account no <input type="checkbox"/> Proff of Identity <input type="checkbox"/> Demat Account ID						

Signature of witness, along with name and address are required, 11 the account holder affixes thumb impression instead of signature

Notes :

1. 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 accounts is held jointly all joint holders will sign the nomination form.
2. A minor can be nominated. In the event, the name and address of the Guardian of the minor nominee shall be provided by the beneficial owner.
3. 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.
4. Nomination in respect of the beneficiary owner account stands rescinded upon closure of the beneficiary's account. Similarly, the nomination in respect of the securities shall stand terminated upon transfer of the securities.
5. Transfer of securities in favour of a Nominee shall be valid discharge by the depository and the Participant against the legal heir.
6. 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 / trust, body corporate, partnership firm, karta of Hindu Undivided Family, holder of power of attorney cannot cancel the nomination. If the beneficiary owner accounts held jointly, all joint holders will sign the cancellation form.
7. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the Client must specify the percentage of share for each nominee.
8. Nomination can be made up to upto three nominees in a demat account. In case of multiple nominees the Client must specify that percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation / share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
9. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
10. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
11. Saving bank account details shall only be considered if the account is maintained with the same participant.
12. DP ID and Client ID shall be provided where demat details is required to be proved.

X11

SIGNATURE OF SOLE/FIRST HOLDER

X11

SIGNATURE OF SECOND HOLDER

X11

SIGNATURE OF THIRD HOLDER

DEMATDEBITANDPLEDGEINSTRUCTION

To,
InvestMentorSecuritiesLimited
14th Floor, Solitaire Sky, Opp. Gujarat
Vidhyapith, Ashram Road, Ahmedabad-380014
SEBI registration No. INZ000260036

I/we _____ (Client / BO name) hold a Beneficiary account No. IN301233 _____ (BO-ID) with National Securities Depository Limited, through your company Investmentor Securities Limited. Having DP-ID IN301233.

And Whereas I am an investor engaged in buying and selling of securities through your company InvestMentor Securities Limited. and your company is a member of National Stock Exchange of India Ltd. bearing SEBI registration No. INZ000260036 a member of Bombay Stock Exchange Ltd., bearing SEBI registration No. INZ000260036. Further due to exigency and paucity of time, I / We am / are desirous of giving my / our consent for Demat Debit and Pledge Instruction (DDPI) to operate the aforesaid beneficiary account on my / our behalf for a limited purpose in the manner hereinafter appearing.

I/We further agree and confirm that the consent given by me / us by this DDPI shall continue until it is revoked (without notice) in writing by me / us and that the said revocation shall be effective from the date on which the revocation notice is received by the stock & commodity broker in his office at 14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road, Ahmedabad-380014

I/We hereby authorize the InvestMentor Securities Limited. to transfer securities from the aforesaid account to the below mentioned accounts for the purposes specified herein.

SrNo.	Exchange	DematAccountNo	AccountPurpose/Type
01	NSE	IN30123310006046	POOLA/C.
02	BSE	IN30123310168732	POOLA/C
03	NSE	1601480000252733	NSECDSL POOLA/C
04	NSE	IN30123310375374	STOCKBROKER COLLATERAL A/C
05	NSE	IN30123310373372	STOCKBROKER COLLATERAL A/C
06	NSE	IN30123310392339	CLIENT COLLATERAL A/C
07	NSE	IN30123310398102	CLIENT SECURITIES MARGIN PLEDGE ACCOUNT

I/Werequestyoutoregistermyconsentinmyabovementioneddemat accountforfollowingpurpose.

SrNo	Purpose	SignatureofClient
1	Transferofsecuritiesheldinthebeneficial owner accounts of the clienttowardsStockExchangerelateddeli veries/settlementobligationsarisingout oftradesexecutedbyclients on the Stock Exchange throughthesamestockbroker.	(First/Sole Holder)
		(Second Holder)
		(Third Holder)
2	Pledging / re-pledging of securities infavoroftradingmember(TM)/clearing member (CM) for the purposeof meeting margin requirements of theclientsinconnectionwiththetradesex ecutedbytheclientsontheStockExchang e.	(First/Sole Holder)
		(Second Holder)
		(Third Holder)
3	Mutual Fund transactions being executed on Stock Exchange order entry platforms	(First/Sole Holder)
		(Second Holder)
		(Third Holder)
4	Tendering shares in open offers through Stock Exchange platforms	(First/Sole Holder)
		(Second Holder)
		(Third Holder)

I,Accept,

For,InvestMentorSecuritiesLimited.

InvestMentorSecuritiesLimited.
14th Floor, Solitaire Sky, Opp. Gujarat
Vidhyapith,AshramRoad,Ahmedabad–380014

Director

Date:

Place:

InvestMentor Securities Ltd. DP ID (IN301233)

Registered Office :

14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road, Ahmedabad-380 014. Gujarat India.

Phone : (079) 6915 3600 • Email : info@investmentoronline.com • Website : www.investmentoronline.com

<input type="checkbox"/> SCHEME – A	<input type="checkbox"/> SCHEME – B	<input type="checkbox"/> SCHEME – C
<ul style="list-style-type: none"> ★ 3500/- Deposit (Refundable) ★ 10,000/- Deposit Corporate, Trust etc. (Refundable) ★ Life Time Maintenance Free (LMF) 	<ul style="list-style-type: none"> ★ 1500/- Deposit (Non-Refundable) ★ Life Time Maintenance Free (LMF) 	<ul style="list-style-type: none"> ★ AMC Charges Normal Account (300/- + GST) ★ AMC Charges Corporate, Trust etc. (1000/- + GST)

Charge Structure

	SCHEME A – B – C	BSDA Account
POA Franking Charge	300/-	300/-
Dematerialisation	100/- Plus 5/- Per Certificate 5/- Per Rejection	100/- Plus 5/- Per Certificate 5/- Per Rejection
Rematerialisation	NSDL Charge + 100/- Per Certificate 5/- Per Rejection	NSDL Charge + 100/- Per Certificate 5/- Per Rejection
Delivery (Market Sale)	To : ISL = 15/- To : Other = 25/-	To : ISL = 25/- To : Other = 40/-
POA Transfer	12/-	25/-
Off Market	25/-	40/-
Pledge Creation	50/- or 0.04% on value which ever is higher	50/- or 0.04% on value which ever is higher
Pledge Closure/invocation	40/- or 0.04% on value which ever is higher	40/- or 0.04% on value which ever is higher
Client Master Changes	20/- per Instruction	20/- per Instruction
Postage Charges	State : 30/- , National 50/-	State : 30/- , National 50/-
KYC Upload/Download	50/- per instruction per PAN/KYC	50/- per instruction per PAN/KYC
KYC Modification	50/- per instruction per PAN/KYC	50/- per instruction per PAN/KYC

NOTE :

- (1) Client will get holding statement quarterly and transaction monthly (if transaction made or else will not applicable)
- (2) In case of late / cancellation / withdrawal / rejection / failure of instruction ₹ 25/- per entry will be charged additional.
- (3) Extra statement charges ₹ 20/- (up to 10 pages, above 10 pages ₹ 2/- per page) by Email it's free.
- (4) All charges will be taken in advance for the year. Slip charge will be taken upfront and charges once paid will not be refundable. GST @ applicable rate will be levied on every service charge (or as per govt.rules.)
- (5) All market traders must be received at least 12 hours before the pay in time. Late instruction would be at the account of holder's sole risk.
- (6) You can check our charge structure or download forms for changes in client details are on our website i.e. on www.investmentoronline.com
- (7) We reserve the rights to change the charges. Or withdraw any of the scheme stated above with 30 days prior notice.
- (8) All charges will be collected upfront.
- (9) Office Time : 10-00 a.m. to 4-30 p.m. Monday to Friday. • Office Time : 10-00 a.m. to 1-30 p.m. Saturday
- (10) For BSDA, Client AMC shall be as per SEBI / NSDL guideline.

I/We accept the above terms for demat account. I/We know that charges are subject to revision at the sole discretion of ISL 30 days prior notice.

Signature of Holder (s)

1. X14
SIGNATURE OF SOLE/FIRST HOLDER

2. X14
SIGNATURE OF SECOND HOLDER

3. X14
SIGNATURE OF THIRD HOLDER



DP ID IN 301233

InvestMentor Securities Ltd.

Registered Office :

14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road, Ahmedabad-380 014. Gujarat India.

Phone : (079) 6915 3600 • Email : info@investmentoronline.com • Website : www.investmentoronline.com

Received the application from Mr. / Ms. _____ as the sole / first holder
alongwith _____ and _____ as the second
and third holders respectively for opening of a depository account. Your client ID will be intimated to you shortly. Please
quote the DP ID & Client ID allotted to you in all your future correspondence.

Date _____

X

Authorised Signatory

19

**Declaration**

The rules and regulations of the Depository and Depository Participants pertaining to an account which are in force now have been read by me/us and I/We have understood the same and I/We agree to abide by and to be bound by the rules as are in force from time to time for such accounts. I/We hereby declare that the details furnished above are true and correct to the best of my/our knowledge and belief and I/We undertake to inform you of any changes therein, immediately. In case any of the above information is found to be false or untrue or misleading or misrepresenting, I am/ we are aware that I/We may be held liable for it. In case non-resident account, I/We also declare that I/We have complied and will continue to comply with FEMA regulations.

I / We acknowledge the receipt of copy of the document, “Rights and obligations of the Beneficial Owner and Depository Participant.”

To Opt For RAJIV GANDHI EQUITY SAVING SCHEME (RGESS)

☐ I / we wish to enroll this account for RGESS. I / we declare that I am / we are eligible to avail this scheme.

Option & Undertaking for Basic Services Demat Account (BSDA)

☐ I/we do not wish to convert my/our depository account into BSDA.

Or

☐ I/we Request you to convert my/our depository account into BSDA.

I/We have read and understood the Securities and Exchange Board of India’s guidelines for facility for a BSDA. I/We hereby declare that I/we am/are eligible to open a depository account as a BSDA holder and undertake to comply with the requirements specified by Securities and Exchange Board of India (SEBI) or any such authority for such facility from time to time. I/We also understand that in case I/We at any point of time do not meet the eligibility as a BSDA holder, my / our aforesaid account is liable to be converted to regular account without further reference to me/us and will be levied charges as applicable to regular accounts as informed by the DP.

I/we Would like to receive Rights & Obligation of DP and BO: () Physical () Electronic

I/We wish to opt for Consolidation Account Statement CAS: () Yes () No

If Yes, mode of sending () Physical () Electronic

If Electronics: Email ID: _____

Signature Of Holder (s)

X15

SIGNATURE OF SOLE/FIRST HOLDER

X15

SIGNATURE OF SECOND HOLDER

X15

SIGNATURE OF THIRD HOLDER



To,

InvestMentor Securities Limited

Registered Office :

14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road,
Ahmedabad-380 014. Gujarat India.

Sub : Acknowledgement

I / We here by acknowledge receipt of copy of following documents from you

1. Client Registration Form (KYC)
2. Rights & Obligation (Including R&O of DP-BO)
3. Risk Disclosure Document
4. Guidance Note
5. Policies & Procedures
6. Tariff Sheet
7. Non-Mandatory Documents
8. POA

I further state and confirm that I have read and understood all the clauses of aforesaid document.

I also confirm that I have received the relevant clarifications, If any, wherever required from the officials of INVESTMENTOR SECURITIES LIMITED

Yours faithfully,

**Client
Signature**

Date

D	D	M	M	Y	Y	Y	Y
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Notes :

- 1) All communication shall be sent at the address of the Sole/First holder only.
- 2) Thumb impressions and signatures other than English or Hindi or any of the other language not contained in the 8th Schedule of the Constitution of India must be attested by a Magistrate or a Notary Public or a Special Executive Magistrat
- 3) For receiving Statement of Account in electronic form:
 - I. Client must ensure the confidentiality of the password of the email account.
 - II. Client must promptly inform the Participant if the email address has changed.
 - III. Client may opt to terminate this facility by giving 10 days prior notice. Similarly, Participant may also terminate this facility by giving 10 days prior notice.
- 4) Strike off whichever is not applicable.
- 5) 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 and the Participant 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 shall not be under any obligation to transfer the securities in favour of the Nominee.
 - VIII. Nomination can be made upto three nominees in a demat account. In case of multiple nominees, the client must specify the percentage of share for each nominee that shall total upto hundred percent. In the event of the beneficiary owner not indicating any percentage of allocation/share for each of the nominees, the default option shall be to settle the claims equally amongst all the nominees.
 - IX. On request of Substitution of existing nominees by the beneficial owner, the earlier nomination shall stand rescinded. Hence, details of nominees as mentioned in the FORM 10 at the time of substitution will be considered. Therefore, please mention the complete details of all the nominees.
 - X. Copy of any proof of identity must be accompanied by original for verification or duly attested by any entity authorized for attesting the documents, as provided in Annexure D.
 - XI. Savings bank account details shall only be considered if the account is maintained with the same participant.
 - XII. DP ID and client ID shall be provided where demat details is required to be provided.



Invest Today For Your Tomorrow...

InvestMentor Securities Ltd.

Member : NSE • BSE • MSEI • NSDL

Registered Office :

14th Floor, Solitaire Sky, Opp. Gujarat Vidhyapith, Ashram Road,
Ahmedabad-380 014. Gujarat India.

Phone : (079) 6915 3600

Website : www.investmentoronline.com